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United Nations reform: measures and proposals

Human resources management

Human resources management reform

Report of the Secretary-General**

Summary

The present report sets out a comprehensive human resources management implementation programme. It sets forth the goals on each subject, provides information on the initiatives the Secretary-General has continued to develop under his own authority and brings to the attention of the General Assembly a number of proposals and provisions for its consideration and approval. The Secretary-General requests specific action from the Assembly in support of his initiatives for reform with regard to recruitment, placement and promotion, and mobility, specifically with regard to changes in the Staff Rules, as set out in annex X. The report outlines the status of implementation of human resources reform in 10 areas: human resources planning; streamlined rules and procedures; recruitment, placement and promotion; mobility; contractual arrangements; administration of justice; competencies and continuous learning; performance management; career development; and conditions of service. It addresses issues of accountability and the mechanisms needed to underpin the delegation of authority in human resources management, and sets out the changing role of the Office of Human Resources Management. It also responds to the request of the General Assembly, in its resolution 53/221 of 7 April 1999, for information and/or action on a variety of subjects in the field of human resources management and its reform.

* A/55/150 and Corr.1.

** The present report is being submitted after the deadline owing to the need to complete the consultation process with staff and management on the issues of human resources management reform.

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I. Introduction

1. A strategy for the management of the human resources of the Organization was enunciated in 1994 and 1996 and endorsed by the General Assembly (see A/C.5/49/5 and A/C.5/51/34). In 1997, the Secretary-General set out his programme for reform embracing initiatives to strengthen the management systems of the Organization (A/51/950 and Add. 1-7; see in particular paras. 224, 228-233 and 236-239 and actions 18-20 and 23-25). Among the Secretary-General's initiatives for strategic change was the need to thoroughly review the management of human resources so as to improve the quality and performance of the staff to enhance the effectiveness with which its human resources are managed and to strengthen the international civil service. By its resolution 52/12 A of 12 November 1997, the General Assembly called for action on a variety of aspects of that vision for management change.

2. Early in 1998, the Secretary-General convened the Task Force on Human Resources Management, comprising experts from the public and private sectors worldwide, to advise him on specific measures and actions for renewal and change. The subsequent report of the Secretary-General to the General Assembly (A/53/414) drew extensively on the recommendations of the Task Force. It focused on the direction of human resources management reform, work in progress and future actions. The General Assembly, in section II, paragraph 3, of its resolution 53/221 of 7 April 1999, noted the intentions of the Secretary-General as outlined in his report and looked forward to the proposals he intended to submit to the Assembly for its consideration (see also A/53/691, paras. 17-20).

3. During 1999 and the early part of 2000, significant progress was made in carrying forward the reform process in key areas of human resources management: human resources planning; streamlined rules and procedures; recruitment, placement and promotion; mobility; contractual arrangements; administration of justice; competencies and continuous learning; performance management; career development; and conditions of service.

4. Dialogue between management and staff has been a priority. An extensive communication effort, directed to both managers and the staff at large, including town hall meetings, focus groups, briefings, bulletins and videoconferences, has been carried out to answer questions and to elicit ideas and feedback. Three sessions of the Staff-Management Coordination Committee have been convened, including a special session in September 1999, all of which focused on reform initiatives. The Steering Committee on Reform and Management and its subgroup on human resources management, chaired by the Deputy Secretary-General, have reviewed at length the various proposals for action in specific areas.

5. The present report constitutes the next step in the process of human resources management reform. It provides information on initiatives the Secretary-General has continued to develop under his own authority as the Chief Administrative Officer of the Organization; brings to the attention of the General Assembly a number of proposals and provisions for its consideration and approval; and it responds to specific requests and proposals put forward by the Assembly in its resolutions 53/221 and 54/248 C of 23 December 1999.

6. The present report presents a series of building blocks for human resources management reform, which need to be seen as integrated elements in the drive to improve the Organization's work in a comprehensive manner. The specific proposals represent a process of evolution: they seek to improve, streamline and simplify existing mechanisms or to supplement them. The Secretary-General views the mechanisms of accountability, the monitoring processes and the control procedures as an integral part of the initiatives he is putting forward.

7. A separate report of the Secretary-General on the subject of accountability and responsibility (A/55/270) sets out the overall parameters and the specific mechanisms being put in place as part of the reform process. The report of the Secretary-General on management irregularities causing financial losses to the Organization (A/54/793) also indicates recent measures to establish a more effective accountability mechanism and to improve internal control, which the Secretary-General believes will contribute significantly to the prevention of management irregularities. However, in view of the importance ascribed by all parties (Member States, the Secretary-General and his management team, and the staff) to the need for well-designed mechanisms of accountability (see for example, resolution 53/221, sect. IV, and A/53/342, sect. III), as well as the necessary internal monitoring and control procedures, each section of the present

report contains concrete elements of accountability relevant to human resources management.

8. Section II describes work in progress under each of the building blocks for human resources management reform. It emphasizes specific actions already taken or to be put in place shortly, and sets out the main issues being addressed, the goal in each area, an assessment of progress to date and any specific decision required of the General Assembly. In several areas of change, namely human resources planning, recruitment, placement and promotion, mobility, administration of justice, competencies, continuous learning, performance management and career development, annexes spell out in detail actions under way or envisaged by the Secretary-General. Section III summarizes the role of the Office of Human Resources Management and its changing functions as part of the process of reform, and section IV presents consolidated conclusions and recommendations for the attention and/or action of the General Assembly.

II. The next stage of human resources management reform

9. In elaborating the role of the United Nations in the twenty-first century, the Secretary-General earlier this year stated that we must put people at the centre of everything we do and that a more people-oriented United Nations must be a more results-based organization, both in its staffing and in its allocation of resources. In his programme for reform he envisioned simplified structure that avoids duplication and achieves greater impact; empowered and responsible staff and managers; a leaner and more efficient United Nations Secretariat; and an organization that fosters management excellence and is accountable for achieving results determined by the Member States. The following year he called for an organizational culture that is responsive and results-oriented, that rewards creativity and innovation and that promotes continuous learning, high performance and managerial excellence.

10. Building on the Secretary-General's vision, a number of changes have been introduced. Several more proposals have been developed, bearing in mind the ever-changing environment in which the Organization operates and the fact that only the staff of the Organization, acting as a global team, can turn the Secretary-General's vision into reality.

Our challenge: the changing United Nations

11. The environment, internal and external, in which the Organization operates has changed enormously over the past 50 years. Consider, for example, that:

(a) The United Nations has developed from a Headquarters-based organization into one with a strong field presence. Two of every three of its staff members are currently involved in field operations. Its sources of funding have also changed. More than half of every dollar now comes from voluntary unassessed contributions and peacekeeping assessments;

(b) Reflecting the situation in their own countries, Member States are more insistent in demanding greater value for their money, calling for improved delivery and more efficient use of resources;

(c) Attitudes towards managing human resources within large bureaucracies have also changed. The day when personnel management was equated with administrative processing is over. Human resources management is a responsibility shared by all managers, with professional support provided by the human resources service. Improved human resources management is key to making the United Nations responsive and relevant to its environment;

(d) The internal reality presents opportunities. The number of vacancies is unprecedented (500 regular budget and 2,400 extrabudgetary posts). Moreover, for the first time in our history, up to 400 staff will be retiring each year for the next five years. This turnover presents an opportunity for rejuvenating the Organization. It is a time to take stock, to examine, to plan and to put in place the prerequisites needed to attract, retain and motivate staff of the highest calibre at all levels, who can be moved rapidly and are able to function effectively under various circumstances.

12. The Secretariat, by necessity, has to be flexible and responsive in order to meet the diverse and changing, and sometimes conflicting, needs of its constituents within the limits of its resource capacity, and at the same time be efficient, effective and accountable in its delivery.

13. To achieve improved delivery of mandated programmes in the desired culture of high performance and continuous learning, we have to put in place

policies, structures, systems and practices, in accordance with the Organization's fundamental principles and values, to ensure that staff are able to work to the best of their ability and managers are able to manage and develop their staff responsibly and effectively.

Our approach: a series of integrated building blocks

14. Improved human resources management is the foundation for the effective delivery of high-quality programme results. Such improvement can be achieved only by managers who are empowered, responsible and accountable for managing their staff and by staff who are skilled, competent and well-motivated. It is for this purpose that the building blocks of human resources management reform have the common threads of simplicity, transparency and timeliness running through them (see figure below).

Accountability

15. Given the central importance of accountability mechanisms to the successful implementation of human resources management reform, this section presents the issue of accountability and how it affects the Organization, managers and staff. Improvements in human resources management will come about by ensuring that resources are used responsibly and accountably in the best interests of the Organization and the staff who serve it. Progress towards such improvement requires effective mechanisms for ensuring accountability at all levels. The goal is to hold managers and staff fully accountable for the discharge of their responsibilities, including both actions and inaction, and to put in place the appropriate mechanisms to achieve this, as well as the accompanying system to reward, remedy and sanction performance.

16. The system is designed to ensure that: (a) managerial responsibility and authority in human resources matters is well-defined; (b) managers receive appropriate guidance and support; (c) the mechanisms for monitoring and assessing the exercise of their authority and responsibility are in place and known to them in advance; and (d) the action to be taken by management, be it recognition, corrective measures or sanctions, is clearly understood.

17. The Organization already has a number of instruments aimed at ensuring accountability. There are also a number of bodies (the Office of Internal Oversight Services), External Auditors, the Joint Inspection Unit) whose role is to oversee, investigate and report on United Nations activities. Furthermore, at the level of individual staff, the introduction of the performance appraisal system (PAS) has provided a more precise tool for planning work, setting objectives and reporting on performance.

18. At present, however, there still exists a multiple-level system of authority and decision-making that blurs individual responsibility. What has been lacking, therefore, is an added element that, especially for managers, clearly spells out the authority and responsibility given to them to achieve stated objectives. Also, there is a need to enhance the mechanisms at the disposal of senior managers for monitoring action taken by subordinates and thus ensuring their accountability.

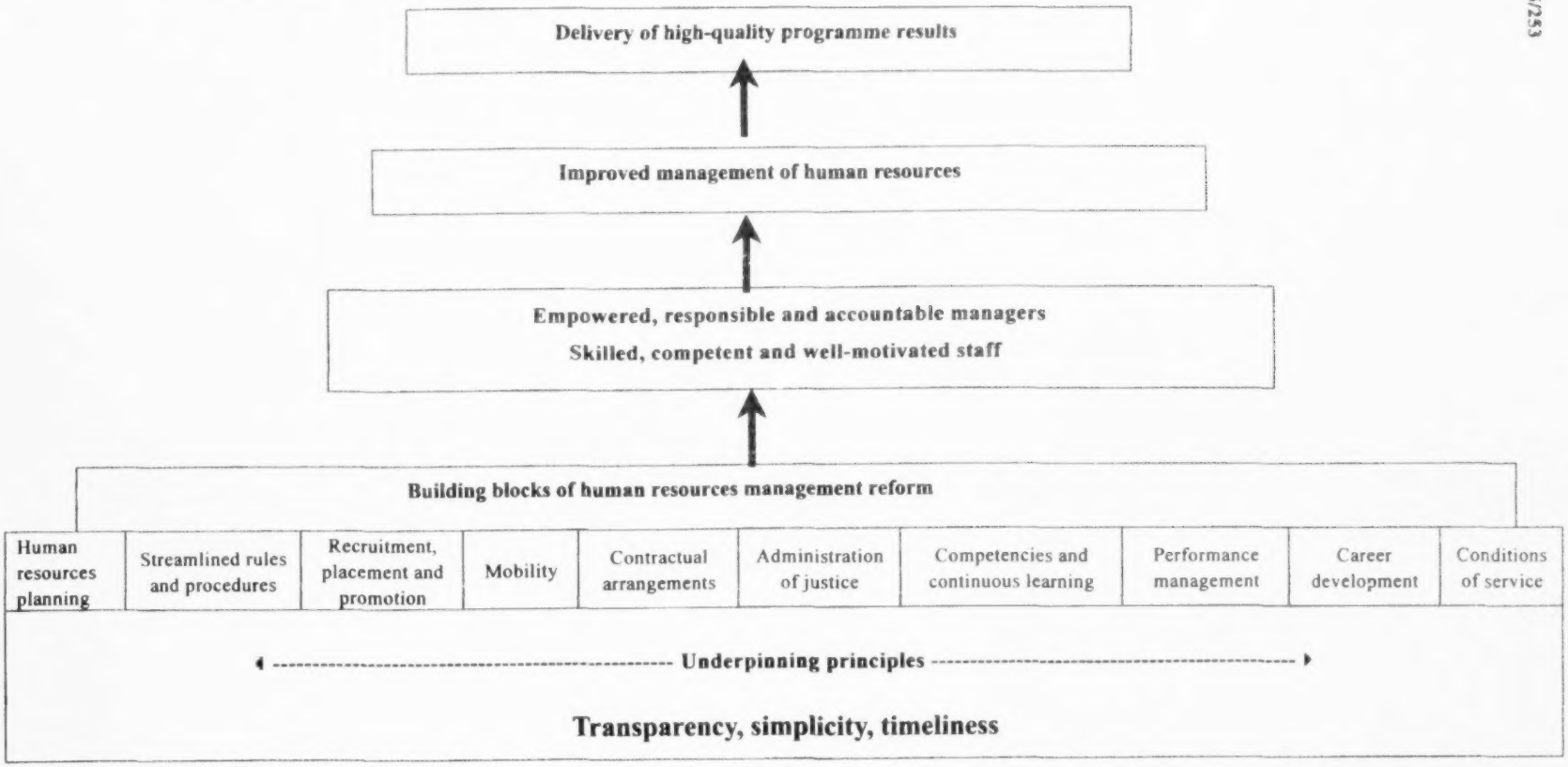
19. To meet these requirements, the following measures have been or are being introduced:

(a) Performance management plan: a performance compact for the most senior managers, which includes their annual commitment to the Secretary-General to achieve measurable goals with regard to various programmes and management objectives, in particular with respect to human resources planning. Through an annual review, guidance and feedback is provided by the Secretary-General on the achievements of the previous year and the setting of new objectives for the coming year;

(b) Improved monitoring: monitoring by the Department of Management of departmental performance for financial and human resources activities including the identification of problem areas and proposals for remedial action. The results of this monitoring will be reported to the Secretary-General annually, or more often if required;

(c) Accountability panel: an accountability panel, chaired by the Deputy Secretary-General, which will follow up on both the Department of Management's monitoring reports and the recommendations of the oversight bodies, paying specific attention to managerial accountability;

Building blocks of human resources management reform



(d) Enhancement of accountability mechanisms within human resources reform processes: each of the reform processes set out in the following sections are designed to incorporate accountability mechanisms.

A separate report of the Secretary-General on all aspects of the issue of accountability is before the General Assembly (A/55/270).

A. Human resources planning

Issue

20. Until recently, the Organization's corporate human resources objectives were defined globally, while the Organization's staffing goals were managed at the department/office level without an integrated planning capability or definition of the Organization's objectives as they applied to each department. This very often resulted in a lag between global objectives and their implementation.

Goal

21. The goal is to establish a medium- and long-term integrated human resources planning system that specifies corporate and other objectives at the level of individual departments/offices.

Progress to date

22. A Secretariat-wide human resources management information system (HRMIS) has been set up and is being further refined.

23. Using the recently developed HRMIS capacity, medium-term planning is being undertaken at the department/office level, including:

(a) Preparation by programme managers of yearly human resources action plans for each department, including organizational objectives and goals for all department heads, which are discussed with the Office for Human Resources Management and jointly agreed upon. These measurable objectives and goals cover many aspects of human resources management, including succession planning, vacancy reduction, geographical and gender representation, mobility, performance appraisal, staff development, etc.;

(b) Monitoring by the Office for Human Resources Management of progress achieved on a regular basis, as well as the preparation of yearly monitoring reports for use by the Secretary-General in his discussion with the most senior managers in relation to the performance compact.

24. Annex I provides a more detailed description of the human resources action plans, the human resources planning sessions with the department heads, the skills inventory project and specific mechanisms for monitoring and accountability.

Next steps

25. Further progress in human resources planning will include:

(a) Skills inventory. Development by the Office for Human Resources Management of a skills inventory for all existing staff, which will provide the Organization and each department and office with an overview of workforce skills, trends and needs. The project is scheduled for implementation and completion during 2000;

(b) Longer-term planning. The Office for Human Resources Management will continue to develop a human resources forecasting and modelling capacity for an integrated planning system in order to better assess the Organization's longer-term human resources needs.

B. Streamlined rules and procedures

Issue

26. Ready access to clear rules is essential for good management and accountability of all concerned. Rules and procedures are still disseminated in many different documents, which are not always easy to find or comprehend. Some documents are obsolete or redundant.

Goals

27. The goals, therefore, are to eliminate documentation relating to obsolete and redundant rules and procedures, to streamline remaining documentation, to allow for easier access through electronic means and to provide the means for consistent and uniform application.

28. All documentation regarding existing rules and procedures has been reviewed in order to identify and

abolish obsolete and/or redundant issuances (see ST/SGB/1997/1 and ST/SGB/1997/2). From 1 January 1999 to 1 March 2000, 127 documents were abolished, and more will be abolished during the remainder of 2000.

29. In accordance with section VI, paragraph 9, of General Assembly resolution 53/221, the rules contained in the current personnel manual have been reviewed and streamlined to update and, wherever possible, consolidate them into single issuances, each dealing with a particular topic. This implements the Secretary-General's rules reform, initiated by the Legal Counsel and promulgated in documents ST/SGB/1997/1 and 2.

30. It is expected that the personnel manual will be replaced by a new human resources handbook, to be available on-line by the end of 2000, which will provide immediate electronic access to all rules currently in force.

Next steps

31. Following the introduction of the handbook, a number of "task tools" will be developed and disseminated on-line to assist managers and administrators in the proper application of the rules.

32. Work will begin on the simplification of the substantive aspects of the rules themselves. (See also "Conditions of service" below.)

C. Recruitment, placement and promotion

Issue

33. The existing process used for filling posts is complex. Adequate planning is often absent and decision-making is diffused, leading to lack of personal accountability on the part of managers. Furthermore, the process is not fully trusted by staff, and managers find it paper-intensive.

Goal

34. The goal is to introduce a system that: is based on predicted staffing needs as determined through effective human resources planning; is timely, that is, posts will be filled within a maximum of 120 days; holds managers accountable for making selection decisions based on objective, job-related criteria; facilitates mobility throughout the Secretariat; provides placement and advancement opportunities for staff based on merit; and complies with the Organization's policies of appointment on the basis of merit, paying due regard to the principles of geographical representation and gender balance.

Progress to date

35. Proposals for a new process have been developed with the following essential elements in mind:

(a) Recruitment will be initiated well before the date a vacancy is expected to arise through the establishment of a global electronic job bank;

(b) A central review body, with an equal number of members designated by the management and staff, will continue to oversee the process at each duty station;

(c) Programme managers, who are responsible and accountable for delivering substantive results in their work programmes, will also be responsible for taking the final decision on the selection of the staff who will encumber posts to fulfil those work programmes. The review body will verify that the evaluation criteria and vacancy announcement accurately reflect the requirements of the post;

(d) The decisions of the managers are implemented subject to confirmation by the central review body that the selection process has been conducted in compliance with agreed procedures, that the managers concerned have presented a reasoned and documented decision and that the pre-approved selection criteria have been applied;

(e) In the event that the central review body finds problems with respect to compliance with the process and those problems are not satisfactorily resolved, it will refer the case to the Assistant Secretary-General for Human Resources Management or to the Under-Secretary-General for Management for review and decision, depending on the category and grade level concerned. The Office of Human Resources Management or the Department of Management would then have the power to suspend cases or require corrective action if the facts of the case so warranted.

36. Annex II sets out background issues, a description of the proposed recruitment, placement and promotion system, including a comparison table showing the differences between the existing and the proposed system, and the specific details as to how

mechanisms of accountability have been built into the system.

Next steps

37. To implement the proposals of the Secretary-General, no change is needed in the Staff Regulations. **However, the revision of staff rule 104.14, as set out in annex X, is brought to the attention of the General Assembly.**

D. Mobility

Issue

38. The scope and complexity of the Organization's activities requires a more versatile, multi-skilled and experienced international civil service. Activities have expanded to cover, in addition to parliamentary activities, a large segment of field activities in the areas of peacekeeping, peace-building and support for humanitarian affairs. However, the management of staff mobility has remained passive, with actual movement of staff taking place on an ad hoc and voluntary basis; it is essentially based on arrangements designed at a time when the Organization was more static.

Goals

39. The goals are to ensure that the Organization is able to move people between functions, departments, occupational groups and duty stations in order to meet its operational requirements, to prepare staff to operate in a multidisciplinary environment, to develop a more integrated approach to the many facets of the Organization's work, to promote greater integration between field and Headquarters-based staff and to provide staff with varied career opportunities.

Progress to date

40. A mobility policy has been enunciated and implementation mechanisms have been developed. Policy principles include movement from a voluntary to a managed approach and the viewing of mobility in a broad sense, i.e., movement within and among functions, departments, occupations, duty stations, organizations of the United Nations system and beyond.

Mechanisms to promote mobility

41. Mechanisms to promote mobility include (a) the creation of occupational networks among departments whose mandates are closely linked and/or that have a common interest in building on the natural affinity between functions; (b) the introduction of time-limited post occupancy; (c) the encouragement of lateral mobility through the issuance of compendiums of all job opportunities first for lateral moves, with normally one lateral move necessary before promotion; (d) the expansion of candidate pools to encourage greater integration of Headquarters and field staff; (e) the encouragement and facilitation of mission service for staff and managers; and (f) attention to work/life issues.

42. A system of managed assignment of junior professionals has been developed and will apply to those who are recruited or appointed to the Professional category as from 1 January 2000. A voluntary system for those already on board has been introduced.

43. Annex III sets out the new policy and mechanisms to be introduced in a phased manner to enhance mobility throughout the global Secretariat. Annex III also describes the system of managed reassignments of junior professionals initiated in 2000 and indicates mobility initiatives being undertaken in the context of the common system.

Next steps

44. The Secretary-General notes that only minor amendments to the Staff Rules would be necessary to implement his proposals. **The revision of staff rule 104.14 referred to above would apply.**

E. Contractual arrangements

Issue

45. The multiplicity of types and conditions of current appointments is perceived to be too complex, too rigid, too administratively complicated and out of step with today's organizational needs. Furthermore, the determination of type of appointment is essentially based on how one enters the Organization. This arrangement has led to a somewhat inequitable situation, with an increasing number of staff with long periods of service on fixed-term contracts who thereby

are not entitled to severance benefits should their contracts not be renewed.

Goal

46. The goal is to adapt contractual arrangements in future to better serve the operational needs of the Organization while recognizing different types of situations: stable, continuing work programmes and projects; sudden major surges in the volume and type of work (especially in peacemaking, peacekeeping and humanitarian operations), including tasks of limited duration; seasonal fluctuations; and short-term requirements.

Progress to date

47. Proposals have been developed with the following key features:

(a) In future, only three types of appointments would be granted for all functions, departments, duty stations or field missions:

(i) Short-term: up to six months, for seasonal work and short-term requirements and when-actually-employed contracts for episodic work; no change from present arrangements;

(ii) Fixed-term, with extensions up to a maximum total of five years (including appointments of limited duration);

(iii) Continuing: open-ended; no specified termination date; service continues as long as it meets the Organization's requirements for experience, skills and competency and performance is satisfactory. Separation benefits would be payable at the end of the contract if separation is initiated by the Organization;

(b) All staff would join the Organization initially on a fixed-term appointment, with a specified term of up to five years (except short-term engagements for temporary needs). This initial period will serve as a probationary period;

(c) After a minimum of two years but not more than five years' fixed-term service, staff members are either considered for conversion to a continuing appointment or their contract is not renewed; they would, however, be eligible to apply for other vacancies within the Organization;

(d) Staff recruited through the national competitive examination and language staff would no longer receive probationary and subsequent permanent appointments;

(e) Staff currently holding permanent appointments would maintain their current contractual status.

48. Annex IV contains details of the proposals discussed with the staff representatives during the twenty-fourth session of the Staff-Management Coordination Committee (SMCC), held in April and May 2000. The annex elaborates on the existing issues and needs of the Organization, the specific issue of a dual-track career system and the related accountability issues.

Next steps

49. At the SMCC session the staff, while expressing interest in the concept of continuing appointments, opposed abolition of permanent appointments for new staff, linking it to the independence of the international civil service and job security. Concerns about the independence of the international civil service have also been expressed in the past by some Member States. In this connection, it must be noted that over 50 per cent of staff currently serving do not have a permanent appointment. There is no evidence that the international civil service in the United Nations has been damaged or impaired as a result. Moreover, many other organizations do not offer permanent appointments, and there appears to be no basis for questioning the integrity and independence of their staff.

50. The Secretary-General believes that the proposal has substantial advantages in terms of administrative simplicity and equality of treatment, and does not compromise the independence of the international civil service. However, in the light of the deliberations at the SMCC session and of the broad range of views expressed by representatives of various Member States, he wishes to review further the issues linked to the terms and types of appointment and to continue the dialogue with the staff before presenting specific recommendations to the General Assembly. At this point he would welcome the views of the Assembly, in particular with regard to the issue of permanent contracts.

F. Administration of justice

Issue

51. While there is currently a comprehensive system of justice in place, its highly formalized nature leads to protracted and lengthy proceedings that are in the interest of neither justice nor of the staff or management. At present, the decision makers whose administrative decisions are questioned are very rarely directly involved in defending the cases. This has resulted in the perception that the system shields managers from being held accountable for their decisions.

Goal

52. The goal is to improve the effectiveness of the system by streamlining the process to ensure expeditious treatment of cases, strengthening the informal mechanisms to ensure resolution of grievances at an earlier stage, providing training, including lessons learned, to all those who are key players in the system and providing legal backstopping to provide advice to staff members and guidance to the Panel of Counsel.

Progress to date

53. Following the twenty-third session of SMCC, all duty stations were requested to establish working groups under the auspices of the local Joint Advisory Committee to explore on an informal basis what particular problems they would like the SMCC Working Group to address. Inputs were provided by some of the duty stations. Also, a number of papers were prepared by the staff on the subject. At the same time the Joint Inspection Unit reviewed the issue and has prepared a report on this topic. Management submitted to SMCC at its twenty-fourth session a number of proposals for improving the system.

54. Annex V contains a description of the current situation and elaborates on the suggestions that are proposed for further discussion.

Next steps

55. A working group of SMCC is to be constituted shortly to review the issue in the light of the proposals submitted by management at the twenty-fourth session as well as those put forward by the staff and to develop proposals for the improvement of the administration of justice, taking also into account the experiences of common system organizations.

G. Competencies and continuous learning

Issues

56. In order to build human resources capacity for the future, it is necessary to define the core competencies required of all staff, namely, the combination of skills, personal attributes and behaviour that should characterize the Organization's staff. This common understanding will assist in building and maintaining the capacity of staff and in promoting a new organizational culture.

Goals

57. The goals are to define and validate core organizational and managerial competencies, to promote shared values and common standards and build organizational capacity, to integrate the competencies into all human resources systems, and to develop a culture of continuous learning.

Progress to date

58. Based on interviews with staff and managers at all levels throughout the Organization, a competency model has been developed. It includes three core values, eight core competencies and six managerial competencies, as follows:

(a) Core values: integrity, professionalism and respect for diversity;

(b) Core competencies: communication, teamwork, planning and organizing, accountability, creativity, client orientation, commitment to continuous learning and technological awareness;

(c) Managerial competencies: leadership, vision, empowering others, building trust, managing performance and judgement/decision-making.

The competency model has been communicated to the staff by the Secretary-General. Staff development programmes have been realigned and new programmes and tools introduced to assist staff in developing their competencies and planning for their career progression.

59. Annex VI provides further details as to the development of the competency model, the proposed applications of the competencies and their linkages to

creating a culture of continuous learning in the Organization.

Next steps

60. Competencies will be integrated into recruitment, staff development, career planning and performance management through the inclusion of competency information in job descriptions and vacancy announcements, competency-based interviewing, targeted staff development programmes, including enhanced managerial development programmes, tools for career planning and enhancement of the performance appraisal system to incorporate the competencies.

H. Performance management

Issue

61. The Secretary-General aims to optimize performance at all levels of the Organization to enhance responsibility and accountability and to improve recognition of performance, achievement and learning.

Goal

62. The goal is to create a fair, equitable, transparent and measurable system of performance management for all staff members throughout the Secretariat that introduces a results-based culture that recognizes and rewards excellent performance and adequately addresses under-performance.

Progress to date

63. PAS has now been implemented throughout the Secretariat. Its processes, forms and materials have been reviewed and amended to simplify the system, increase managerial accountability and improve the linkage to staff development. A number of monitoring mechanisms, including joint monitoring committees, have been put in place to ensure accountability, compliance and consistency, as described below:

(a) A range of training programmes has been put in place for staff at all levels with the aim of improving performance management. Among them is the people management training programme for all managers throughout the Organization;

(b) To complete the performance management circle, a performance appraisal system has recently been introduced for the most senior managers. This performance compact includes an annual commitment to the Secretary-General to achieve measurable goals. Through an annual review, the Secretary-General will provide guidance and feedback to each manager on how well the previous year's goals, including management of staff, have been achieved. The managers in turn will present their proposed objectives for the forthcoming year;

(c) As part of the Secretary-General's annual review, the accountability system includes regular definition of goals and monitoring by the Office of Human Resources Management of departmental human resources management performance.

64. Annex VII provides the current status of PAS implementation in the Secretariat, a description of the Organization's PAS monitoring mechanisms, details on performance recognition and issues relating to accountability.

Next steps

65. PAS will be reviewed and revised, in the light of experience, taking into account feedback from staff and managers, including incorporation of competencies.

I. Career development

Goal

66. The goal with respect to career development within the Secretariat is to build and maintain a highly competent, multi-skilled and versatile international civil service capable of meeting the Organization's present and future needs and, in so doing, to meet the developmental needs and career aspirations of individual staff members.

Comprehensive career development system

67. The building blocks of the human resources reform programme comprise the components of a comprehensive and systematic career development system, as requested by the General Assembly in section VI, paragraphs 5 and 6, of its resolution 53/221. Progress is being made in building and strengthening those components so that staff are

supported in their careers and so that the needs of staff are matched to the needs of the Organization.

68. Career development is the systematic process of matching as closely as possible the needs of the individual at each phase of his or her career with the needs of the Organization for the mutual benefit of both. To that end, in his programme for human resources management reform, the Secretary-General defined the Organization's career development policy in terms of a partnership between the Organization, management and staff (see A/53/414, para.32 (a)).

69. The policy is based on the principle that responsibility for career growth and development is shared by the Organization, which must provide structural support and a framework of opportunities, managers, who must support staff development and career progress, and staff members, who must be committed to continuous professional growth.

70. Annex VIII sets out the components of the comprehensive career development system.

J. Conditions of service

Issues

71. The Secretary-General has indicated that enhanced conditions of service are a crucial element of his overall human resources management reform programme. The Organization requires a competitive compensation package that is able to attract and retain high-quality staff and a good working environment.

Goals

72. The goals are to provide staff with a better work/life environment and to work with our partner agencies of the United Nations common system and with the International Civil Service Commission (ICSC) to define more flexible, competitive and streamlined remuneration packages, as well as to simplify the administration of entitlements.

Progress to date

73. A number of issues, such as the introduction of alternative work schedules, the facilitation of spousal employment and the provision of adequate childcare, are being reviewed and proposals are being developed. Annex IX describes the work/life survey that is being undertaken and related issues that currently impede the mobility of staff.

Next steps

74. The issue of staff health, safety and welfare in all the workplaces of the Secretariat will be reviewed, with a view to taking appropriate measures.

75. A review of the pay and benefits system will be pursued with common system organizations and ICSC with a view to making recommendations to the General Assembly on improved conditions of service, including streamlined competitive remuneration packages, as well as simplification of the administration of entitlements.

III. Role of the Office of Human Resources Management

76. The improvements described in each of the previous sections imply major changes in the future role and functions of the Office of Human Resources Management, as well as in the roles and functions of programme managers and their administrative offices. In principle, all day-to-day personnel administration will in future be undertaken by the departments. In many cases this will simply mean that the Office will cease duplicating the work already being done in other offices without adding to the workload on either side. The replacement of manual systems by electronic processing will also reduce the time taken on these processes and enhance the Office's capacity to monitor and report.

77. Rather than dealing with transaction processing, the Office in the future will concentrate on:

(a) Developing human resources policy;

(b) Providing guidance, upon request, to programme managers regarding difficult or complex human resource issues;

(c) Monitoring compliance with human resources rules and policies;

(d) Providing assistance to managers and staff in competency development.

78. The Office will provide more professional human resources services, including:

(a) Greater emphasis on human resources policy development;

(b) Monitoring of departmental human resources action plans and implementation of rules and policies;

(c) Provision of tools for management, e.g., an on-line personnel handbook, help-desk advisory service, electronic personnel files, skills inventory and job bank;

(d) Provision of automated processing of entitlements;

(e) Development and integration of competencies into human resources systems;

(f) Provision of increased development and career support programmes for all staff, with emphasis on building managerial capacity;

(g) Monitoring of the recruitment and promotion system;

(h) Management of organizational mobility schemes;

(i) Focus on advice, mediation and settlement in the internal justice system;

(j) Development and implementation of policy at the level of the common system;

(k) New policy initiatives in work/life issues.

79. The Office will perform less administrative processing, with the result that:

(a) Transaction processing will be largely eliminated;

(b) Duplication of candidate pre-screening will cease;

(c) Clearance of individual selection cases will cease;

(d) Individual benefit-processing cases will be either automated or decentralized;

(e) Duplication of benefit reviews will be eliminated between the Office of Human Resources Management and the Office of Programme Planning, Budget and Accounts or executive offices;

(f) The paper filing method will end;

(g) Managers will defend their administrative decisions themselves during the appeal process, except on points of law.

IV. Recommendations

80. The General Assembly may wish to take note of the work in progress and actions taken or envisaged in the following areas:

(a) Human resources planning (see paras. 20-25 and annex I);

(b) Streamlined rules and procedures (see paras. 26-32);

(c) Contractual arrangements (see paras. 45-50 and annex IV);

(d) Administration of justice (see paras. 51-55 and annex V);

(e) Competencies and continuous learning (see paras. 56-60 and annex VI);

(f) *Performance management* (see paras. 61-65 and annex VII);

(g) Career development (see paras. 66-70 and annex VIII);

(h) Conditions of service (see paras. 71-75 and annex IX).

81. The Assembly may also wish to note the specific mechanisms of accountability and monitoring and control procedures that are an integral part of the reforms and innovations proposed by the Secretary-General.

82. The Secretary-General requests specific action from the General Assembly in support of his initiatives for reform with regard to recruitment, placement and promotion (see paras. 33-37 and annex II) and mobility (see paras. 38-44 and annex III), specifically with regard to changes in the Staff Rules, as set out in annex X to the present report.

Annex I

Human resources planning

1. The human resources action plan sets out key objectives within a specific time period. The early identification of predictable vacancies (through retirement, lateral movement, redeployment or attrition) is an essential ingredient of succession planning. For the Office of Human Resources Management, the human resources action plan is both a monitoring tool and a mechanism of accountability to ensure compliance with the overall human resources objectives of the Organization. For programme managers, their human resources action plan provides a context and framework for their particular human resources management objectives.

Human resources action plans

2. The Secretary-General has established the departmental/office action plan in human resources as the main instrument of planning. The human resources action plan reviews nine critical elements of management: current vacancies, projected vacancies, geographical representation, gender balance, mobility of staff, performance appraisal, career development, training and staff-management relations. The Assistant Secretary-General for Human Resources Management meets with each department and office head to agree on specific goals for each element for the coming 12-month period and to review the achievements and/or shortfalls of the previous 12-month period. The first full assessments under the action plans were implemented in 1999 and the early part of 2000. The human resources action plan is a key element of the management objectives the Secretary-General discusses with each programme manager and records in his or her performance management plan. A complete description of the performance management plan is contained in the report of the Secretary-General on accountability (A/55/270).

Management information

3. To complement the human resources action plans and to underpin them, a global human resources management information system is being developed. The system draws extensively from the application of the Integrated Management Information System (IMIS) in the human resources sector, making possible the worldwide integration of data on a comparable basis. In the past, the use of different databases from location to location, running on different software and operating systems, worked against the integration of staff data, which is crucial for planning purposes. As part of its role in issuing standards and guidelines, the Office of Human Resources Management is establishing common formats, software and reporting requirements so as to be able to assess the Organization's needs on a global basis. Such commonality is also essential for monitoring and for reporting to legislative bodies.

4. At the same time, the annual report on the composition of the Secretariat has been expanded since 1997 to include the analysis of a number of workforce trends. A series of standard human resources statistics provides a composite picture of the structure of and changes in the staff of the Secretariat.

Planning system

5. The General Assembly, in section III, paragraph 4, of its resolution 53/221, emphasized the importance of a human resources planning system, including an integrated approach to recruitment policy, job classification and contractual policies. The Secretary-General intends to continue to develop central human resource planning instruments, through the Office of Human Resources Management, so that the future staffing needs of the Organization can be identified in a timely and comprehensive manner. The partnership of the Office of Human Resources Management and other departments and offices in agreeing on specific goals for action will continue to be part of the Secretary-General's programme management plan with his senior managers and a direct mechanism of accountability. As more of the data on staff are brought within the ambit of IMIS, for example, with the automation of classification and personnel records, more elements will be included in the Office's monitoring and planning reports.

Skills inventory

6. In 1999 the Secretary-General reported on the completion by the Office of Human Resources Management of the first stage of an inventory of staff skills (see A/54/279 and Corr.1, paras. 59-68). The

purpose of the inventory was to compile information on the skills, experience, background and career aspirations of staff using a comprehensive electronic database. Such an inventory is a prerequisite for a managed mobility programme and for planning the acquisition of new skills as staff change functions in the Secretariat, in particular as they progress beyond technical functions into the management levels of the Organization. The information collected so far provides an objective basis for assessing the existing skills of staff, which in turn can be matched to departmental requirements, help to evaluate gaps in personnel resources and help to assess candidates for vacancies, transfers, training and specialized assignments. For the Office, it provides an overview of staff skills, trends and needs. For each department and office, it shows where the existing mix of staff skills may need to be supplemented or augmented to meet requirements related to new tasks.

7. To date, some 5,200 staff have participated in the inventory. The skills inventory project has been recast with a new software package for the second phase to facilitate responses by staff members. It is scheduled for completion during 2000, and will include staff in field missions. Once the data collection phase has been completed, a pilot project to test a number of succession plan formats will take place in 2001.

Monitoring

8. The Office of Human Resources Management has established a monitoring capacity that works closely with IMIS to track compliance with human resources policies, guidelines and practices throughout the Secretariat. Among the mechanisms developed is a computerized recruitment tracking system, which provides a quick-response overview of all stages of recruitment for vacant posts. Another mechanism is the introduction of an automated time and attendance recording procedure in IMIS. At present, work is focused on correcting data contained in the system related to staff entitlements (notably, dependency allowance, education grant, rental subsidy and mobility and hardship allowance). This work is being done in preparation for Release 4.0 of IMIS, which is to become operational before the end of the year. Human resources data will then be used on a direct basis for payroll purposes, without passing through the Accounts Division.

Accountability in human resources planning

9. The human resources action plan is a strong accountability mechanism in the area of human resources planning. It clearly defines specific management responsibilities, areas of concern and targets to be met by each department or office. Achievement or non-achievement of the goals of the annual plan is monitored at the six-monthly or mid-point progress review. It is critical that programme and operational commitments made by managers be matched by management commitments. In human resources terms this means that a programme manager is directly accountable to the Secretary-General for his or her department or office, a line manager is directly accountable to his or her programme manager and the individual staff member is directly accountable to the line manager. Monitoring and control is also vested in the work of the Accountability Panel, the role and function of which is fully described in the report of the Secretary-General on accountability (A/55/270, paras. 41-43). The Panel will track, and if necessary intervene in, systemic problems relating to human resources management. Senior management will regularly review those findings for compliance and, when necessary, for remedy. The human resources action plan, then, is three things: a statement of commitment, a framework for monitoring and a means of controlling the key ingredients of human resources management at the line management level.

10. The Office of Human Resources Management provides day-to-day advice and intervention on the issues and problems of human resources administration that occur at the department and office level, whether at Headquarters or offices away from Headquarters. In this way, compliance with recruitment, placement and promotion procedures, staff development policies and procedures, performance management policies, compensation policies, classification guidelines and procedures for the administration of entitlements is ensured by the Office. Where delegation of some responsibilities has been in place, for example for recruitment to field missions (Department of Peacekeeping Operations) or short-term recruitment for peak workloads (Department of General Assembly Affairs and Conference Services), regular and formal reports are the basis for the review of personnel actions. The purpose is to anticipate problems wherever possible rather than for the Office of Human Resources Management to play a second-guessing role.

The exceptions log is a mechanism of accountability in which all decisions to approve exceptions from established rules, practices and procedures are recorded, together with the reason for the exception and the official who authorizes it.

Annex II

Recruitment, placement and promotion

Goals

1. The goal of reform in the process of filling vacancies (the recruitment, placement and promotion activities) is to produce a system that: is based on predicted staffing needs as determined through human resources planning; enables managers to make selection decisions based on objective, job-related, competitive criteria; facilitates both lateral (placement) and vertical (promotion) mobility throughout the Secretariat; provides placement opportunities for staff on the basis of merit; complies with the Organization's policies of appointment on the basis of merit, with due regard for geographical representation and gender balance; and is timely.

Background issues

2. The Secretary-General set out his vision and the objectives for reform in the management of recruitment, placement and promotion in his report to the General Assembly on human resources management reform (see A/53/414, paras. 20-24). In section V, paragraph 13, of its resolution 53/221, the Assembly requested the Secretary-General to continue to improve existing recruitment and placement procedures with a view to making them simpler, more transparent and timely.

3. As reported in 1998, some concrete steps have already been taken to accelerate the process of filling vacancies, with the result that the average time needed has been reduced by some 40 per cent in two years. In early 1999 a task team prepared comprehensive proposals to overhaul the system of recruitment, placement and promotion. Three sessions of the Staff-Management Coordination Committee have been devoted to reviewing the proposals with staff representatives, including a special session held in October 1999, which focused exclusively on this topic. The proposals have been modified to take into account a number of concerns expressed by staff and managers.

4. A key element of the proposals has been to entrust programme managers with the final decisions regarding the selection of candidates. Considerable concern has been expressed about the proposed responsibility of programme managers in the areas of recruitment, placement and promotion. The Secretary-General understands this concern and would agree that it is essential, before authorizing such authority, to put in place well-designed mechanisms of accountability, including the necessary internal monitoring and control procedures, as well as training (see A/C.5/53/34 and Corr.1, paras. 29-39, and resolution 53/221, sect. IV, paras. 2 and 8). He believes that it is important not only to have a comprehensive overall system of accountability and responsibility in place (as set out in A/55/270), but that accountability mechanisms designed specifically for recruitment, placement and promotion procedures are also critical.

5. The General Assembly itself has taken a number of decisions that directly affect the proposals of the Secretary-General for reform in this area. For example, in contrast to the Secretary-General's original proposal that vacancy announcements be circulated for a period of 30 days, the Assembly decided that they would be circulated for 60 days. For the time being, the Secretary-General has therefore adjusted his overall goal for the timely filling of vacancies from 90 to 120 days. The present average, according to the Office of Internal Oversight Services, is 275 days. It would be the intention of the Secretary-General to continue to work closely with Member States to reduce the 60-day circulation period to the minimum feasible amount of time, through, for example, specific mechanisms for early notice of vacancies and/or for rostering candidates.

Evolutionary approach

6. The changes proposed to the system of recruitment, placement and promotion are not radical; they are more in the nature of rationalizing and streamlining existing approaches. They are predicated on one fundamental principle: that programme managers, who are responsible and accountable for delivering substantive results in their work programmes, must also be responsible for taking the final decision on the selection of the staff who will fulfil those work programmes. That is not the case at present. The existing process is cumbersome and slow, with decision-making diffused among several parties — programme managers, staff representatives,

appointment and promotion bodies and the Department of Management. The present system is biased towards seniority, is open to a limited pool of candidates rather than being an open competition and is heavily paper-intensive.

7. The new process should be seen in tandem with the proposals set out in Annex III on mobility, which have a direct impact on the internal placement processes of the Organization, in particular those supporting lateral movement or placement of staff that would precede the formal filling of vacancies.

Advantages of the proposed system

8. Four features of the new system merit emphasis. First, recruitment activities will be initiated well before a vacancy actually arises, mainly as a result of the establishment of a global electronic job bank. Second, just as the present appointment and promotion bodies comprise joint management-staff representatives, so the principle of the involvement of staff representatives in the review of the process would be ensured. Staff involvement in the actual selection of candidates would cease. Third, the central review body is itself a mechanism of accountability built into the heart of the process. Fourth, in the event that the body discovers problems regarding compliance with the process that cannot be resolved, the programme manager will be required to refer the case to the Assistant Secretary-General for Human Resources Management or the Under-Secretary-General for Management for a decision.

Section A
Filling vacancies by recruitment or promotion

9. The process is designed so that the final decision will rest with the programme manager; monitoring of the process will be the responsibility of the central review body.

Step 1
Triggering the process and determining selection criteria: 30 to 60 days

10. The departmental human resources plan will already have identified and prioritized most posts required to be filled in the next biennium. Planning for the process of filling an unexpectedly vacant post should begin as soon as a line manager becomes aware that a vacancy will arise. In the case of retirement, for example, the date is known well in advance; where an internal lateral move is desirable (for example for career development purposes), the dates can also be planned ahead of time. Generic formats should be developed for similar jobs within occupational networks, then tailored as necessary to reflect the particular job needs. For foreseeable vacancies, vacancy announcements should be issued six months before the vacancy arises.

11. The line manager will draw up evaluation forms while at the same time preparing the job description and vacancy announcement. These forms will contain the crucial conditions that will screen out non-eligible and non-qualified candidates from the outset. The form will contain boxes that may be checked to indicate which conditions the applicants met or failed to meet. The forms will set out the job-related and organizational criteria by which eligible and qualified candidates will be assessed. These criteria will include numeric, weighted ratings for each of the key elements, as assessed from documentary evidence and interview performance, as well as check-boxes for organizational criteria, such as geographical representation and gender balance. The forms will also summarize the comparative rankings of eligible and qualified candidates against these criteria on the basis of their overall numeric ratings.

12. The evaluation forms will be forwarded to the central review body to obtain independent confirmation of the appropriateness of the criteria. Tailoring of the vacancy announcements for specific candidates will thus be eliminated. The line manager will take account of the body's comments in finalizing the evaluation forms. This stage of the process should be completed before the deadline for receipt of application forms, that is, within 30 days for internal competitions and 60 days for open competitions.

Step 2
Selection: 20 to 30 days

13. When the applications are received, the line manager, with assistance from the executive or administrative office, will first eliminate ineligible and unqualified candidates using the central review body's approved criteria.

14. The line manager will then review the remaining candidates and rank them according to their numeric scores against the agreed selection criteria on the evaluation form. The line manager will then interview the most promising candidates and decide which, if any, should be shortlisted. The line manager may list up to five candidates for shortlisting. The candidate with the top score will be recommended for selection, and up to four of the remaining candidates may be shortlisted, as follows:

(a) Internal candidates may be placed on a roster for other similar jobs where no vacancy announcement is needed;

(b) External candidates may be placed on a roster to be considered for other similar externally advertised jobs.

15. Where candidates are of equal substantive merit, the line manager will be expected to recommend the candidate who best meets the Department's corporate human resources goals and targets.

16. A single case file will be created containing all the application forms and assessment sheets for subsequent review and audit as necessary.

17. The line manager's recommendations, together with summary sheets of the preliminary screening and selection exercise, will then be forwarded to the central review body. This step of the process should be completed within 20 days for internal selection and 30 days if external candidates are involved.

Step 3
Central review body review: 5 days

18. The central review body will consider whether:

(a) Selection has been conducted in compliance with the agreed process and the line manager has made his or her recommendations in accordance with agreed predetermined criteria;

(b) The line manager's recommendations have been presented in a reasoned and documented manner;

(c) The recommendations are reasoned, the facts have been documented, there is no misrepresentation of fact, there is no mistake of law and that there is no prejudice or improper motive.

19. If the central review body has any queries about these matters, it will invite the line manager to provide an explanation. However, it will not take a position on the substantive merits of individual candidates; its role is to monitor compliance with the process and to ensure the absence of extraneous factors, not to second-guess the line manager's substantive judgement. The body's review should be completed within five days.

Step 4
Programme manager's final decision: 5 to 15 days

20. The line manager's recommendations, together with the review body's comments on compliance with procedure, will then be sent to the programme manager for a final decision. The programme manager shall consider the recommendations and comments and make a decision. The line manager's recommendation shall be endorsed unless the programme manager is not satisfied with:

(a) The line manager's assessment of the substantive merits of the candidates;

(b) The line manager's compliance with the process, as evidenced by the review body's comments.

21. If the programme manager is dissatisfied on either of these counts, he or she will ask the line manager to reassess his or her recommendations and resubmit them through the central review body. This reassessment process will occur only once, after which the programme manager shall make a final decision.

22. In the case of an internal candidate, once a final decision has been made, the candidate's programme manager should release him or her as soon as possible, and in any case in no more than 60 days.

23. The central review body will report annually on its work to the Office of Human Resources Management and the Secretary-General, thus providing an opportunity for central oversight of the decisions of individual programme managers. These reports will be considered during the annual human resources planning exercise.

Step 5
Recourse to the Department of Management: 5 to 10 days

24. In the event that problems of compliance with the process persist after a case has been resubmitted to the central review body, the programme manager shall be required to remand the case to the Department of

Management, including his or her own comments thereon as well as those of the central review body, for a final decision.

Accountability

25. The initiatives on recruitment, placement and promotion have direct implications concerning mechanisms of accountability and monitoring and control procedures. The key to them is that they clearly establish the accountability of all managers for the substantive choices they make in staffing their organizational entities. At the same time, the central review body is the ultimate guardian of accountability for the process. The Office of Human Resources Management, the Department of Management and the central review body have monitoring responsibilities: the body ensures that there are effective review procedures in place, while the Office of Human Resources Management and the Department of Management are the final decision makers in case of dissension between programme managers and the review body.

Section B
Comparison of the present and proposed process of filling vacancies

Present process	Proposed process
1. *Post becomes vacant*	
Job description confirmed/classification reviewed; department prepares vacancy announcement; vacancy announcement is circulated by the Office of Human Resources Management; there are frequent discrepancies between job description and vacancy announcement; no evaluation criteria are agreed.	Action plan establishes targets in advance, identifies foreseeable vacancies; job description with vacancy announcement and evaluation criteria agreed upon by the central review body, forwarded to the Office of Human Resources Management for circulation of vacancy announcement; office maintains on-line job bank.
60-90 days	*Prior to vacancy*
2. *Circulation of vacancy announcement* (No change: 30-60 days)	
3. *Candidates are submitted by deadline; the Office of Human Resources Management screens against global criteria*	
Only eligible candidates are forwarded to departments.	All candidates go directly to relevant department.
10 days	*Not applicable*
4. *Departmental review*	
Line manager is assisted by panel of management/staff representatives; interviews are not mandatory; qualified candidates when not selected are not rostered for similar posts; there are multiple and voluminous case files; departmental panel makes substantive decisions on candidates.	Ineligible/non-qualified candidates are eliminated using agreed criteria; candidates are ranked using agreed criteria; candidates are interviewed, shortlisted; top-ranking candidate is recommended; shortlisted candidates are put on roster; line manager makes recommendation to the central review body.
90-120 days	*20-30 days*
5. *Appointment and promotion body review*	
Programme manager recommends candidate, which may not be the recommendation of the departmental panel: (a) The appointment and promotion body meets and may remand the case to the department; may interview manager; (b) The appointment and promotion body decides on the candidate recommended; manager may provide further input.	Central review body reviews process for compliance; takes no decision on candidates per se; review body may invite explanations from line manager; review body provides comments.
20-30 days	*5 days*

Present process	Proposed process
6. *The Assistant Secretary-General for Human Resources Management or the Under Secretary-General for Management takes a decision on behalf of the Secretary-General*	
	The programme manager's final decision is based on the line manager's recommendation and the comments of the central review body; the programme manager may request one reassessment of the substantive merits or compliance with process. The programme manager shall remand the case to the Department of Management or the Office of Human Resources Management for a decision if the central review body reports non-compliance with the process.
10-20 days	*5-15 days*
Total: 220-330 days	**Total: 60-110 days**

Annex III

Mobility

1. The Secretary-General aims to create a more versatile, multi-skilled and experienced international civil service capable of fulfilling complex mandates. He envisages an organizational culture in which mobility would be encouraged, valued and rewarded. The policy concepts and practical implementation mechanisms set out below are intended to help the Organization to increase its flexibility and responsiveness by preparing staff to operate in a multidisciplinary environment; to improve programme delivery capacity by addressing specific chronic vacancy problems; to develop a more integrated approach to the many facets of its work and promote greater integration between field and Headquarters-based staff; to expedite deployment to field missions; and to offer more career development opportunities for staff.

2. Over the past 30 years the activities of the United Nations Secretariat have expanded radically to include a large segment of field activities for technical cooperation, peacekeeping, peace-building and support for humanitarian operations. However, despite the growing global reach of the Organization, there has been little increase in the mobility of staff; mobility has been ad hoc and voluntary, based on arrangements designed at a time when the Organization was more static. The overall goal, therefore, is to stimulate mobility as an essential part of career service; in so doing, the Organization would ensure that posts are filled with experienced and skilled staff, wherever they may be located.

3. The General Assembly has emphasized the requirement of mobility of all internationally recruited staff members. In accordance with staff regulation 1.2(C) staff members are subject to assignment by the Secretary-General to any of the activities and offices of the United Nations at any time. In the context of human resources planning, there is a persistently high vacancy rate in some regional commissions and duty stations, which impedes the delivery of programmes and projects. The Assembly has requested the Secretary-General to ensure the proper mobility of the staff between all the regional commissions and duty stations to correct this situation. It has asked the Secretary-General to establish mechanisms towards, and to implement a policy of, enhanced mobility across functions, departments and duty stations, and encouraged him to explore, through the Administrative Committee on Coordination, the possibility of enhancing mobility among organizations of the United Nations system.

4. The new policy and mechanisms to implement this policy are intended to be introduced in a phased manner to enhance mobility throughout the global Secretariat. Following a task team report to the Steering Committee for Reform, staff-management consultations were conducted at the twenty-fourth session of the Staff-Management Coordination Committee (SMCC), held in April-May 2000.

Policy

5. There is no single simple way to increase mobility in a complex organization like the United Nations: the diversity of the Organization's work rules out a straightforward rotation approach that is appropriate for a field-based organization. The Organization needs to move from a voluntary to a managed approach to mobility with the establishment of a clearly defined policy based on the following principles:

(a) Mobility is not an end in itself, but a tool to enable the United Nations to fulfil its operational requirements more effectively;

(b) Mobility patterns will vary depending on the requirements of the job and the location;

(c) Mobility is a shared responsibility between the Organization, managers and staff, in which all must play an active role;

(d) Mobility will be integral to career patterns; career progression will depend, in part, on evidence of mobility.

6. The lateral movement of staff from one job to another, both within a department and between departments within occupational groups, should become a positive and integral component of the Organization's human resource management mechanisms. At the same time, internal appointments should not be used to undermine the Organization's

genuine need to acquire new skills, nor to permit the filling of posts other than on the basis of merit and competence. The Secretary-General therefore proposes that lateral moves should in future be managed as follows:

7. Programme managers should continue to have the opportunity to move staff laterally within their departments, in line with the needs of the work and the career development needs of individual staff members.

8. The quarterly circulation of a compendium of job opportunities process as outlined in paragraphs 27 to 29 below would provide a mechanism to encourage the broader movement of staff beyond individual departments and within and between occupational networks. It would not only enable staff to indicate an interest in such movement in order to expand their experience; it would also provide the means for programme managers to review candidates from a broader pool when filling job vacancies.

9. Programme managers should also be able to select internal staff for appointments on the basis of shortlists resulting from recruitment and promotion competitions run by other programme managers, provided the jobs concerned are similar. Again, the central rostering function of the Office of Human Resources Management is a critical element in this process.

10. Under the new system of recruitment, placement and promotion, there is a strong incentive for a programme manager to fill an empty post by a lateral placement. Such a lateral placement will, in turn, open up another opportunity. And it is only after the completion of these lateral moves, which are also designed to strongly encourage mobility of staff, that a vacancy will be formally announced. Thus, the majority of job opportunities would be taken up well within the 120 day target time line.

11. Mobility is the ability of staff to move within and between functions, departments, occupations, duty stations and organizations of the United Nations common system. The cornerstones of mobility policy are that: (a) international service requires a change from a voluntary and passive approach to one that is actively managed; (b) staff do not "own" specific posts; and (c) managers do not "own" specific staff members throughout their careers.

12. Four principles support this policy:

- Mobility is required to meet the Organization's operational needs and priorities. In particular, it is needed to resolve continuing chronic problems of vacancies at some duty stations, to ensure planning for succession and to staff field missions;
- Mobility is a shared responsibility. The Office of Human Resources Management is responsible for establishing a framework and mechanisms to support a global programme, to monitor its functioning and report on its operation. Managers are accountable for human resources plans that use mobility to meet programme requirements, develop staff competencies, skills and experience, and for quick release of staff for emergency operations. Staff, in turn, are responsible for taking advantage of mobility opportunities as part of their own career development;
- Mobility is integral to career development. Staff will move through a variety of functions and locations throughout their United Nations service. Career progression will depend in part on the willingness of staff to be mobile and the opportunities for such mobility. Promotion criteria will reflect the extent and value of different types of mobility. Mobility will have different values, at different times, for the staff themselves, for managers and for the Organization;
- Mobility patterns of staff will vary. The movement of staff will depend on, for example, the urgency of the task, the combination of skills and experience required, the degree of specialization required, the locations at which the work is to be carried out, working and living conditions at different locations, or staff members' career aspirations and decisions.

Constraints

13. Existing mobility mechanisms are fragmented and weak. Although the new managed assignment scheme for junior professionals (see para. 37) will ensure that new entrants experience at least two different jobs in their first five years of service, there is no equivalent arrangement for more senior Professional staff, or for General Service staff within a given duty station.

14. Although departmental managers have the authority to move staff laterally within their departments, all movement of General Service staff and of Professional staff at the P-3 level and above between departments, functions and occupational groups is effected through the lengthy and cumbersome vacancy-filling process.

15. The Field Service, some 300 staff, is the only genuinely mobile category of United Nations staff. Mobility works well in this case, but it is limited to specific types of work and is confined to field missions.

16. Financial incentives for mobility are governed by the International Civil Service Commission mobility and hardship scheme, which compensates for the varying degrees of difficulty of living and working conditions at various duty stations and field missions, as well as the number of moves undertaken by a staff member. However, financial arrangements are effective only where mobility is an accepted condition of service or where the incentive is significant. In other cases they are not sufficient in themselves to create the motivation for mobility.

17. In addition to the lack of policy tools and mechanisms to support mobility, there are other impediments. Managers are reluctant to encourage mobility because of the length of time it takes to replace staff. Quick and simple mechanisms to fill posts on a temporary basis are missing: Special post allowance (SPA) arrangements for assigning staff to vacant posts are cumbersome and time-limited, focusing on concerns of "fairness" rather than meeting operational needs. Managers are reluctant to release experienced staff because, lacking decision-making authority in the staff selection process, they are not confident of receiving a replacement of equal calibre. The practice of blocking posts for staff on field assignments has a negative impact on mobility, since it precludes filling a post for up to two years other than on a temporary basis. Managers also have difficulty in placing staff who become temporarily extraneous as organizational units restructure, programmes end, funding declines or staff remain in a field mission long enough to lose their reabsorption rights in a parent unit. A more active, managed approach is needed to meet these situations.

18. For some staff, mobility is not seen as an advantage: movement to another duty station or mission means being "out of sight, out of mind" when promotions are being considered. Staff are reluctant to move to less attractive duty stations because there is little prospect of being able to move again: they prefer to remain in departments or locations where they feel they will be most likely to find "inside track" opportunities for promotion. Anxiety about job security has a tendency to inhibit staff willingness to move to posts, functions or locations which are perceived as less secure. Many staff feel that the demands of field mission assignments, with additional responsibilities and disruption to personal lives, are not recognized in tangible ways. Staff are also deterred from applying for posts in other departments or locations because they believe that they will not receive equal consideration with candidates from those departments or locations: applying to move can be seen as "disloyalty" by parent departments.

19. Organizational impediments to mobility include the variety of different contractual arrangements for staff, many of which restrict not only the duration of their service but also the type of work they can do and, sometimes, the departments/offices/locations where they can serve. One serious division is between staff recruited through the formal appointment and promotion process, who mostly fill regular budget posts at headquarters and established duty stations, and staff recruited by other means, who are primarily employed in the field. This situation has created a division between "field" and "headquarters" staff that is difficult to bridge.

20. Similarly, the rigid classification of posts and a tendency to over-specify academic and technical qualifications and experience has inhibited multidisciplinary approaches to facilitate mobility within and between occupational groups. There are few effective mechanisms to recognize the value of mobility to the Organization. Although promotion bodies are encouraged to take mobility into account, it is not yet a mandatory criterion; often seniority is given far more importance. There is currently no system to recognize mission service, or service at a challenging duty station, as especially meritorious; nor do staff receive recognition for changing functions or occupations in order to broaden their skills, experience and competencies.

21. Lack of information regarding opportunities is a barrier to mobility. Unless staff are aware of the specific opportunities that exist in other departments

and duty stations, the nature of the work involved in other functions and the career patterns that are open to them, they cannot make informed choices about moving from one job or location to another. Reliable, up-to-date and accessible information about current and prospective vacancies throughout the Organization and the skills/experience they require is essential for career planning, which in turn is key to increasing mobility.

Proposed mechanisms

22. Faced with these problems, there is no single, simple way of increasing mobility. Unlike the United Nations Development Programme, the United Nations Children's Fund or the Office of the United Nations High Commissioner for Refugees, which are primarily field-based organizations, a straightforward rotational approach would not fit the needs of the United Nations. Nevertheless, a number of practical measures would promote greater flexibility, responsiveness and versatility. The Secretary-General proposes the following new mechanisms:

Occupational networks

23. This concept is linked to the proposed new arrangements for recruitment, placement and promotion. The occupational networks will be a grouping of departments/offices with closely linked mandates and programmes and a common interest in collaborating in exchanging staff, who would in turn thereby broaden their skills, experience and competencies. The occupational networks would build on affinities between functions, break down departmental "silos" and encourage multidisciplinary approaches. The managers of occupational networks would meet regularly to: (a) align human resources plans; (b) discuss succession programmes for staff in the network; (c) address network-wide vacancies; (d) develop generic, occupational-wide job descriptions to remove current barriers to mobility; (e) plan staff movement to broaden skills and experience; (f) plan for deployment to/from the field and mission service; (g) conduct joint training and learning programmes; and (h) develop links with external organizations and promote searches for qualified external candidates.

24. Potential occupational networks might include:

- Peace and security, humanitarian affairs, human rights (Department of Political Affairs, Department of Peacekeeping Operations, Office for the Coordination of Humanitarian Affairs, Office of the United Nations High Commissioner for Human Rights, Department for Disarmament Affairs);
- Economic and social development (Department of Economic and Social Affairs, regional commissions, United Nations Conference for Trade and Development, United Nations Office of Drug Control and Crime Prevention, United Nations Environment Programme, Habitat);
- Resource management (Office of Programme Planning, Budget and Accounts, Office of Human Resources Management, OCSS (including Information Technology Services Division), executive offices and administrative offices at offices away from Headquarters).

Other occupations (public information, legal, conference services) might also be involved in several networks. Staff could be considered in several occupational networks, based on particular specialist experience or skills.

25. The occupational network would facilitate the lateral filling of vacancies, provide a wider range of opportunities for staff to gain experience and acquire new skills, and enable managers to draw on a larger pool of staff to fill vacancies. Coordination of short- and long-term planning of staff needs would be enhanced.

Time-limited occupancy of posts

26. The length of time a staff member occupied a specific post would be limited. Upon the staff member's appointment, both the manager and staff member would know how long the staff member might occupy the post before moving on. This contrasts with the current "post ownership" practice whereby staff can only be required to vacate a post if their personal contract is not renewed, if they apply successfully for another post, or upon retirement, resignation or dismissal. The duration of occupancy of a post would reflect operational requirements, the length of the "learning curve" of an incumbent and succession plans in an occupation. Occupational network managers, in consultation with the Office of Human Resources Management, would set a normal range of minimum/maximum years for occupancy of each post

or set of posts (normally two to five years) and this information would be included in vacancy notices.

Managing lateral mobility: the compendium process

27. Although promotion will remain an incentive for mobility, the principal means of increasing mobility remains by lateral movement or placement at the same level. The primary mechanism for effecting lateral mobility will be a quarterly electronic compendium of job opportunities, to be circulated by the Office of Human Resources Management, based on department/office inputs. The compendium will set out all job opportunities to become available over the next 12 months, by main occupational groupings. It will cover job opportunities at all levels in the General Service category, opportunities at levels P-3 to D-2 in the Professional and higher categories, opportunities as a result of staff promoted temporarily in the field and opportunities as a result of Field Service staff eligible at FS-6 and FS-7 converted to the Professional category.

28. The compendium will be circulated by the Office of Human Resources Management throughout the Secretariat in electronic format every three months. Following its circulation, staff members will be invited to express their preference for up to three jobs at the same level for future assignment or placement. Staff will determine their preferences in the framework of their own career development. The Office of Human Resources Management, through a help-desk facility, will assist staff in deciding on preferences in the context of career planning. If a staff member does not express any preference, or is unsuccessful in being placed in a new post by the time their occupancy-limit for their current post expires, the manager, in consultation with the Office of Human Resources Management, will arrange for a reassignment. The Office will circulate consolidated lists of staff preferences for placement to programme managers in each occupational network and will work with the network managers to place staff who are considered to have potential for movement to new occupational categories. Programme managers and individual line managers in departments/offices in the occupational networks will be responsible for matching staff preferences with available opportunities. The Office of Human Resources Management will maintain a record of lateral placements, so as to maintain a comprehensive picture of all movements.

29. Once the opportunities for lateral placement have been exhausted, the normal process of advertisement of vacancies would take place, with the selection of candidates following the proposed new recruitment, placement and promotion process. Promotion, in future, will reflect evidence of mobility between functions, occupations, departments and duty stations.

Promotion: increasing the value of mobility

30. In future, at least one lateral move will be required before staff are eligible for promotion. In some cases, at particular levels, thresholds may be set which would require service in a specified number of functions, departments or duty stations in order to be promoted to the next level. The value attached to mobility within and between functions, occupations, departments and duty stations will vary according to operational requirements, the nature of the work to be done and opportunities for staff development.

31. Under current practice, in considering candidates for vacant posts, preference is given to "internal" applicants, a group which includes regular staff (staff members previously recruited under rules 104.14 and 104.15) and all women holding an appointment with an organization of the United Nations common system. To promote mobility and to encourage greater integration of headquarters and field staff, this group of "internal" applicants should be enlarged to include FS-6 and FS-7 level staff in the Field Service category eligible for conversion to the Professional category and regular staff who have been promoted temporarily in the field (who should be able to apply for lateral moves to posts at the level to which they have been promoted). As far as vacant posts to be filled through the appointment and promotion process are concerned, the group of "internal" candidates should include those staff and mission appointees at the grade level of the advertised post who have served for one year or more. Other mission appointees would be eligible to apply if they fulfilled existing seniority requirements. This enlargement of the candidate pool of "internals" is a first step towards further expansion of candidate pools in the future.

Encouraging mission service

32. Field missions are a critical dimension of the work of the Organization. Helping to staff them should be a responsibility of all programme managers. New arrangements are proposed to ensure that field missions can be staffed rapidly, without unduly disrupting ongoing programmes. Department heads responsible for constituting missions will develop templates to identify the mix of skills required for specific missions and will circulate the templates to managers and staff Secretariat-wide. Each year the same department heads and occupational network managers will draw up a list of staff to be designated for field service over a specified period, in two categories: (a) standby staff ready for release within one week, for deployment for 3 to 6 months; and (b) longer-term mission staff, ready for release within one month for deployment for 1 to 2 years. The commitment to release specific staff members will be recorded in the programme manager's annual human resources action plan.

33. By identifying mission staff in advance, managers will be in a position to make timely arrangements to replace them and the staff concerned will be able to undertake pre-mission training. Standby staff liable for rapid mission deployment would be on call for a 12-month period, after which other staff would be so designated. Staff assigned to field missions for less than a year would return to their original posts. For absences of up to two years, staff members would be guaranteed the right to return to the same occupational network and duty station when a suitable post became available. Staff who could be placed immediately in an established post in the occupational network would be accommodated through the central administration of vacancies.

Conditions of life and work of duty stations

34. Some duty stations experience persistently high vacancy levels for a variety of reasons, including conditions of life and work and the reluctance of staff to become "stranded" after volunteering to move. To enhance mobility to those duty stations, it is proposed that post occupancy could be set at shorter terms than the Secretariat norm, thereby providing an incentive towards faster career progression.

35. Factors such as the availability and quality of schooling, medical services and other amenities, the prevailing security situation and opportunities for spouse employment may limit willingness and capacity to be mobile on the part of many staff members, particularly those with family commitments. Improving work/life conditions could assist in increasing mobility between duty stations. Accordingly, the Secretary-General proposes to undertake a thorough review of work/life conditions throughout the Organization to establish the needs, consider possible remedies and develop practical costed proposals.

36. Forward planning will be essential to enable programme managers to support increased mobility. In future, departmental/office human resources action plans will include targets for the numbers and levels of staff to participate in lateral moves over the succeeding 12 months; these targets will be translated into specific numbers of inward and outward staff moves for each division. Annual action plans will also earmark staff for standby rapid deployment to field missions, those needed for longer-term mission deployment and commitments to accommodate staff returning from mission assignments.

Managed reassignment

37. As indicated in the Secretary-General's report on human resources management reform (A/53/414, para 40), in the first instance, emphasis is being given to means of increasing the mobility of entry-level staff in the Professional category. As of 1 January 2000, staff at the P-2 level recruited through the national competitive exams or promoted through the G-to-P exams (excluding posts requiring special language skills, the staff of which are governed by administrative instruction ST/AI/2000/1) will be subject to a managed reassignment system during their first five years of service. In offers and letters of appointment, candidates will be informed that when accepting a post in the Organization, they may expect to move to a different post with new functions and supervision, in the same or a different department/duty station, after two or three years in their first assignment.

38. Reassignment to a second suitable post at the P-2 level will be effected in the context of the career development of the staff. At the beginning of each year, a compendium of posts will be sent to eligible junior Professionals who have completed two years of service. The compendium will include posts currently encumbered by these junior Professionals and vacant P-2 posts. The Office of Human Resources

Management will conduct a central matching exercise taking into account criteria established by managers, organizational needs and the qualifications and preferences of staff.

39. To support the career development of serving P-2 level staff, the Office of Human Resources Management is facilitating voluntary lateral moves of P-2 level staff who have been in the Organization for at least two years. A compendium of vacant P-2 posts was circulated to eligible P-2 level staff who were invited to submit applications for posts of interest to them, with the Office conducting a matching exercise after review of the applications by programme managers. Managed reassignment is part of an overall career support programme for junior Professional staff, which includes a week-long orientation programme soon after joining the Organization, in addition to enhanced training, mobility and career support during their first five years. These measures are intended to facilitate their entry into the Organization and accelerate the learning and adjustment period leading to productive job satisfaction.

Mobility and the common system

40. With regard to mobility between the United Nations Secretariat and other entities of the United Nations common system, the basic mechanism remains the Inter-Organization Agreement concerning transfer, secondment or loan of staff among organizations applying the United Nations common system of salaries and allowances. The Consultative Committee on Administrative Questions of the Administrative Committee on Coordination is considering a proposal that promotion obtained while on secondment or loan should be recognized on return to the parent organization, and that reciprocal arrangements should be made between organizations to treat all job applicants on a par. In addition, the United Nations Development Group has been considering proposals to encourage mobility through reciprocal recognition of service in participation organizations. A specific mechanism already put in place is the Participating Agencies Mobility System (PAMS), a central web site available to individual staff to record their experience/skills and those of their spouses, which may be used by all organizations to fill vacancies. The Secretary-General is committed to continuing to search for ways to link employment opportunities across the common system as part of the mobility policy.

Accountability

41. With regard to mechanisms of accountability, monitoring and control procedures in the area of mobility, the human resources reform proposals of the Secretary-General are predicated on a strong central role for the Office of Human Resources Management: in maintaining the compendium of job opportunities, in assisting in matching candidates to those opportunities and in limiting the length of time of occupancy of posts, in partnership with the programme managers of the occupational networks. The compendium of job opportunities would be a comprehensive monitoring tool, a clearing-house mechanism that promotes transparency by providing staff with information on all vacancies and matches openings with skills. In the proposed new recruitment system, the Central Review Board will be the ultimate guardian of accountability for the process and the Office of Human Resources Management/Department of Management will resolve differences in cases of disagreement between programme managers and the Board. The emphasis on lateral movement will be of particular value to programme managers at duty stations with chronic and persistent vacancy problems and to staff who wish to move beyond their current organizational entities.

42. Programme managers will be held accountable in their human resources action plans for the achievement of mobility targets and for meeting mission assignment commitments. They will also be responsible for reabsorbing staff from mission assignments. In turn, department/office heads will hold their managers to account through the performance appraisal system (PAS) for facilitating individual staff moves. Staff members themselves will be accountable through the PAS for seeking and taking advantage of opportunities for lateral moves, as part of their own career development. The Office of Human Resources Management will maintain the compendium of job opportunities for lateral placement, ensure that mobility is prerequisite to promotion, work with field departments on staffing priorities, make mobility a central element of the human resources action plans and monitor all staff movements under the new proposals.

Annex IV

Contractual arrangements

Goal

1. The goal of reform is to adapt contractual arrangements to better serve the operational needs of the Organization in recognizing: stable, continuing work programmes and projects; sudden major surges in volume and type of work (especially peacemaking, peacekeeping and humanitarian operations), including tasks of limited duration; and seasonal fluctuations and short-term requirements. Furthermore, the goal is to ensure equity between staff and to develop mechanisms which take into account longer-serving staff who have not been granted permanent appointments.

2. The terms and conditions of employment of staff members, including the conditions under which they are separated from service, are defined by the type of appointment offered to them. Existing types of appointment, and the basis on which one type is selected rather than the other, have not changed for decades, even though the activities of the United Nations have undergone significant changes in the last 30 years. The Secretary-General has included the rationalization of the terms and conditions of employment of staff in his programme of reform of human resources management. This will make it easier for the Organization to meet its operational requirements and to attract and retain staff of the highest calibre. In addition, the proposals contained in the present annex would facilitate implementation of the proposals described above concerning a new system of recruitment, placement and promotion, and mobility.

Current problems

3. The existing system has become excessively complex, rigid, administratively burdensome and out-of-step with today's organizational needs for mobility and multiple skills. For many years, the type of appointment granted depended on the post against which a staff member happened to be placed at the time the decision was made. More recently, in accordance with the provisions of section III.B, paragraph 19, and section V, paragraph 2, of General Assembly resolution 51/226 of 3 April 1997, permanent appointments have been offered only to staff members recruited in the Professional category through a competitive examination. Such haphazard arrangements have led to a large number of staff remaining on fixed-term appointments for extended periods. Of the approximately 13,000 staff members appointed under the 100 series of the Staff Rules (i.e., all staff except project personnel and staff recruited for a short term or for a limited duration), half hold fixed-term appointments and are not entitled to severance benefits should their appointment not be renewed, regardless of the length of their service. The other half hold permanent appointments and would be entitled to termination indemnity should their appointment be terminated. This raises the basic question whether the accident of assignment to a particular function at a particular time, or the mode of recruitment, should be the rationale for granting a permanent appointment.

New needs

4. The United Nations today is both a headquarters and a field-based Organization. Flexibility of staff to respond to this new reality has become more important than seniority or status. The terms of appointment must meet the needs for: (a) stable, continuing work programmes and projects; (b) sudden large-scale surges in volumes and types of work (viz. peacekeeping, peacemaking and humanitarian operations); (c) tasks of limited duration; and (d) seasonal fluctuations in workload and short-term requirements. At the same time, staff members should feel assured that the type of appointment they have been offered has been selected on a rational, rather than a random basis, and that all staff are treated in the same manner. For their part, programme managers seek flexibility in matching terms of appointment with operational requirements, subject to budgetary limitations, i.e., the right person should be in the right place for the right length of time. The possibility of offering longer-term or open-ended appointments for continuing functions would assist them in attracting highly qualified candidates.

Principles

5. Four principles underpin the proposal:

(a) It seeks to meet the operational requirements of the Organization to employ and assign staff in varying capacities, for varying periods of time,

and across functions, occupational groups and duty stations;

(b) It would make the possibility for a long-term career available to all staff, based on the Organization's needs, in the light of the continuing requirement for their experience, skills and competencies, as well as their performance;

(c) The Organization could act as a good employer and be competitive, using the conditions attached to the type of appointment being offered to attract and retain the best staff for the job;

(d) The proposal would reinforce and be fully integrated with other efforts and proposals to substantially improve the process of recruitment, placement and promotion, mobility, performance management and separation from service.

Proposed simplification of types of arrangements

6. Under the proposal, only three types of appointment would be used for all Secretariat functions, departments, duty stations and field missions:

- *Short-term*: up to six months, for seasonal peak workload and short-term requirements, as well as "when-actually-employed" appointments for episodic work (no change from existing arrangements);
- *Fixed-term*: from six months up to a maximum of five years;
- *Continuing*: open-ended appointments with no specified termination date. Service would continue as long as it met the requirements of the Organization in terms of experience, skills, competencies and performance. An indemnity would be paid if the appointment was terminated at the initiative of the Organization.

7. The status of staff currently holding permanent appointments would not be affected. No new permanent appointments would be given.

8. Under the proposal, staff whose services were required for more than six months would join the Organization in the first instance on a fixed-term appointment. This initial period, which would be up to but not more than five years, would serve as a probationary period. After a minimum of two years, but no more than five years of fixed-term service, staff would either be reviewed for conversion to a continuing appointment or be separated from service. Staff newly recruited through national competitive examinations and language staff would be included in this system.

Dual-track system

9. The General Assembly, in section V, paragraph 25, of its resolution 53/221, noted the intention of the Secretary-General to present detailed proposals on the dual-trac system of career and non-career-appointments. In the view of the Secretary-General, the present proposals for adjustments in the terms and types of appointments have taken into account earlier discussions of career and non-career track appointments. In essence, the continuing appointment would become the career track, without a guarantee of lifetime employment; the short-term and fixed-term appointments would constitute the non-career track.

Accountability

10. The proposed simplification of types of appointments would have an impact on accountability, monitoring and control procedures. It would establish a direct functional linkage between type of appointment and functions, depending on whether they were of a changing nature (viz. in the information technology sector) or were at the core of the Organization's functions. The Organization, as a good employer, must be accountable for defining its staffing needs, for giving appointments which must be clearly time-limited in some cases, and for providing more security to its career staff. The proposal would demand reasoned and documented decisions with respect to extension or non-extension of fixed-term appointments, and with respect to conversion to continuing appointment. This would respond to the concern expressed by staff regarding arbitrary decisions made by programme managers.

Annex V

Administration of justice

Current situation

1. The General Assembly, in section IV, paragraph 2, and section VI, paragraph 9, of its resolution 53/221 of 7 April 1997, requested the Secretary-General to review the internal system of justice in order to ensure the timely, fair and effective administration of justice.

2. The Secretary-General notes that a comprehensive system is in fact in place. A small number of administrative reviews are being requested by staff (221 such requests were made in 1999). As far as disciplinary cases are concerned, only 32 such cases were initiated by the Administration during 1999. Also, in 1999, only 101 new appeals were made to the Joint Appeals Board. The United Nations Administrative Tribunal (UNAT) receives approximately 30 cases a year from United Nations Secretariat staff. Yet even with this small volume, improvements can be made in the system of administration of justice.

3. The current informal mediation processes are not considered fully adequate. The panels on discrimination and other grievances are under-utilized by staff for a number of reasons, among them that panel members are not trained to mediate, and their findings are often not substantiated by evidence and managers thus resist cooperating with them. As has been done in such organizations as the United Nations Children's Fund or the United Nations Development Programme, it is proposed to replace the panels by an ombudsman mechanism, in order to strengthen the informal mediation process. An ombudsman could carry out mediation functions on a full-time basis and be independent of both management and staff, while trusted by both. He/she should be experienced in law and/or administration, with excellent mediation, communication and interpersonal skills, and should be of sufficiently high rank to command broad respect.

4. Administrative review provides the primary opportunity for the Administration to evaluate contested decisions so as to avoid unnecessary appeals, as well as for decision makers (managers) to reconsider their decisions in the light of that evaluation. Administrative reviews are carried out by the Administrative Law Unit of the Office of Human Resources Management. At present, early review and/or settlement of cases at the review stage is hampered by the limited resources of the Administrative Law Unit, overly tight time limits, managers' often belated comments and/or inadequate explanations, and onerous settlement procedures. With modest additional resources allocated to the Administrative Law Unit, the settlement procedures can be streamlined in two ways: by giving the Unit authority to settle appropriate cases and by giving it advance authorization from the Controller to make settlement payments up to a specified ceiling.

5. Targeted training, including lessons learned, is envisaged to disseminate information at all levels of the Secretariat concerning recourse procedures and administrative policies and practices. Specifically, managers, personnel officers, executive officers and administrative personnel should be briefed on the outcome of appeals cases and UNAT judgements: the lessons learned mechanism would help to prevent a repetition of managerial errors. Training in the principles of administrative law, applicable rules, the rules of evidence and other basic requirements of due process should be given to the members of the Joint Appeals Board, the Joint Disciplinary Committee and the Panel of Counsel.

6. With regard to the strengthening of the Panel of Counsel, at present staff members appealing administrative decisions may be assisted by volunteers from the Panel. Any active or retired staff member can be a member of the Panel, irrespective of educational background, legal training or experience. Many volunteers do not have hands-on knowledge of United Nations policies, procedures or precedents. Accordingly, concerns have been raised about the inequality of the representation of staff as opposed to the professional lawyers who represent the Secretary-General. It is therefore proposed to make available to the Panel of Counsel, for an initial period of one year, a Legal Officer who would: (a) advise staff on the merits of their case and how to proceed; (b) advise staff who are the object of disciplinary proceedings; and (c) provide guidance to the members of the Panel of Counsel. It is also proposed to permit Legal Officers from the Office of Legal Affairs who do not deal with

personnel matters, and who would have no conflict of interest, to volunteer as members of the Panel of Counsel.

Accountability

7. As far as mechanisms of accountability, monitoring and control procedures are concerned, the initiatives outlined above strengthen the existing system. Managers become accountable for their decisions, instead of passing the burden of defense to the Office of Human Resources Management. The Office will maintain its advisory role on points of law. The elements of a monitoring system for cases exist in the Administrative Law Unit, the Tribunal, the Joint Appeals Board secretariats and in the Office of the Coordinator of the Panel of Counsel. It is fundamental that, in the administration of justice process, control procedures change more in favour of informal mediation, early resolution of issues and informed decision-making by potential claimants.

8. In 1999, after the twenty-third session of the Staff-Management Coordination Committee (SMCC), all duty stations were requested to submit proposals for the reform of the system of administration of justice by identifying issues of concern. A number of staff papers were presented. The Joint Inspection Unit has also prepared a report on the subject. In April 2000, management submitted the above proposals to SMCC at its twenty-fourth session, and a working group of SMCC will be constituted to develop joint proposals to further improve the administration of justice. Until such time as these proposals are forthcoming, it is the intention of the Secretary-General to implement his initial proposals.

9. At present, the highly formalized nature of the internal system of justice can lead to protracted proceedings which are in the interest neither of justice nor of management or staff. Decision makers whose administrative decisions are disputed are rarely directly involved in defending the cases to which they give rise. This situation has resulted in the perception that the system shields managers from being held accountable for their decisions. The General Assembly has repeatedly emphasized its concern that sanctions must be imposed in cases of demonstrated mismanagement of staff and wilful neglect or disregard of established rules and procedures: at the same time it is concerned to safeguard the right of due process of all staff members, including managers (resolution 53/221, sect. IV, para. 10). To achieve these goals, the Secretary-General believes that managers must be directly accountable for their decisions. To that end, as had been reported previously (A/53/414, para. 30), rather than having the Office of Human Resources Management defend the decisions of managers before the appeals bodies, managers will be required to present the factual basis of their own decisions with the support of the Administrative Law Unit of the Office of Human Resources Management on points of law.

Annex VI

Competencies and continuous learning

New organizational culture

1. The reform programme of the Secretary-General envisages a new organizational culture for a more results-oriented United Nations, supported by competent, multi-skilled, versatile staff. Experience in other private and public sector organizations, including many national civil services and other entities of the United Nations system, has shown that in order to build human resources capacity for the future, it is essential to define the core competencies required of all staff, as well as the additional competencies required by managers. The term "competency" refers to a combination of skills, personal attributes and behaviours which are directly related to successful performance on the job.

Competency model

2. On the recommendation of the Task Force on Human Resources Management, a participatory process involving interviews and focus groups with staff and managers at all levels throughout the Organization was undertaken to define organizational competencies. The data from the interviews and focus groups were used to develop the competency model, which included three core values, eight core competencies and six managerial competencies, as follows:

- *Core values*: integrity, professionalism, respect for diversity;
- *Core competencies*: communication, teamwork; planning and organizing; accountability; creativity; client orientation; commitment to continuous learning; technological awareness;
- *Managerial competencies*: leadership; vision; empowering others; building trust; managing performance; judgment/decision-making.

3. The core values reflect those set out in article I of the Staff Regulations, which were approved by the General Assembly in its resolution 52/252 of 8 September 1998 after having been agreed upon by the management and staff in the context of the code of conduct. The competency model was presented to the Subcommittee on Human Resource Management Reform in May 1999 and to the Staff-Management Coordination Committee (SMCC) at its twenty-third session in June 1999. SMCC welcomed the model and noted that competencies could provide the "glue" to link human resources systems.

4. As part of a communications strategy designed to inform staff and managers about the competencies and their applications, the Secretary-General on 13 October 1999 issued a bulletin entitled "Organizational Competencies for the Future" (ST/SGB/1999/15). A competency handbook was issued to all staff, and competency workshops and briefing sessions were conducted throughout the Secretariat.

5. Applications of competencies to the areas of recruitment, staff development, career support and performance management began in early 2000. Projects under way include: (a) inclusion of competency requirements in job descriptions and vacancy announcements; (b) training in competency-based interviewing; (c) targeted staff development programmes aimed at building competencies, including enhanced managerial development programmes; (d) tools for career planning, including a guide to developing competencies; and (e) a consultative process with a view to incorporating competencies into the performance appraisal system (PAS).

6. In accordance with the Organization's staff development policy, staff development needs are addressed through a combination of centrally coordinated programmes aimed at building core competencies and promoting a shared culture and values throughout the Secretariat, and provision of decentralized funding for the upgrading of substantive and technical skills. Continuous learning on both the individual and the organizational level is supported by systematic assessment of needs, formulation of development plans and implementation and monitoring of staff development activities. Individual development needs are identified in the context of the PAS, which requires all staff to include at least one professional development goal in their annual work plans. On the basis of individual requirements reflected in the PAS as well as an assessment of team or departmental training requirements to meet new and evolving mandates, all departments prepare annual training plans setting out their priorities for individual and departmental

capacity-building. Departments' annual training goals form an important element of their human resources action plans, which the Office of Human Resources Management monitors and provides with assistance and follow-up as required.

Targeted programmes to address priority needs

7. To meet the Organization's identified priority needs and promote organizational culture change, staff development and learning programmes have been reinforced and refocused and new targeted programmes are being implemented for staff at all levels Secretariat-wide. Priority programme areas include managerial development; information technology; management of human and financial resources; upgrading of substantive and technical skills; and language and communications programmes to promote multilingualism and increase awareness of gender and diversity. New programmes targeted at building specific competencies include: coaching for improved performance, work planning, decision-making, information technology for managers and competency-based interviewing and selection. Programmes have focused on supporting reform efforts by strengthening performance management, promoting organizational change and building an increasingly results-oriented culture with enhanced delegation of authority and accountability.

8. In view of the key role of managers and supervisors in implementing organizational change and providing leadership in the change process, particular emphasis is being placed on developing supervisory and managerial competencies. Mandatory people management training has now been provided for the majority of all P-4 to D-2 level supervisory and management staff. Follow-up to this training has been implemented in most departments and offices throughout the Secretariat. Follow-up programmes brought together the heads of each department or office with their senior management teams to review progress made in implementing action plans developed in the first phase, as well as focus on specific departmental issues, including work planning, team-building and internal communication. Continuing managerial development will include customized programmes aimed at building managerial competencies and strengthening accountability at both individual and departmental levels.

9. In the recognition that the demands of today's fast-paced and constantly changing work environment make continuous learning critical for staff in all occupations at all levels, increasing attention is being devoted to widening the range of learning options available, including self-study programmes, on-the-job training, coaching and developmental assignments, both to improve current performance and to prepare for new or different responsibilities.

Accountability

10. As indicated in the Secretary-General's policy as set out in "Building the Future" (ST/SGB/1998/6) and his report on human resources management reform (A/53/414), staff development is a responsibility shared by the Organization, its managers and staff members themselves. The Organization is responsible for making opportunities available and providing the means to acquire new skills, competencies and experience. Action plans agreed upon in the context of human resources planning meetings focus on objectives related to enhancing the competencies and skills of staff and are recorded as an element of the programme management plan. The Office of Human Resources Management assesses needs, provides centrally coordinated programmes to address Organization-wide needs, provides guidance to departments on decentralized programmes for the upgrading of specific substantive and technical skills, monitors the implementation of programmes and conducts follow-up and evaluation to ensure that priority needs are being met in an efficient and cost-effective manner. Managers are accountable for supporting and contributing to the development of their staff; they are held accountable by means of a mandatory goal in their PAS. Staff are expected to take advantage of opportunities available to them to pursue their ongoing development. The PAS requires all staff to include at least one professional development goal in their annual work plan.

Annex VII

Performance management

Policy

1. A key goal of the human resources reform effort is to create a fair, equitable, transparent and measurable system of performance management, introducing a performance-based management culture that recognizes and rewards excellent performance and adequately addresses under-performance. The performance appraisal system (PAS) is one element in the strategy to institutionalize this culture in the Organization. The General Assembly has requested the Secretary-General to ensure that the PAS applies to all staff and is consistently applied throughout the Secretariat.

Current status

2. All departments and offices throughout the Secretariat have implemented the PAS during the 1999-2000 performance cycle (the International Tribunals for Rwanda and the former Yugoslavia are expected to commence implementation shortly).

3. An additional performance management process for senior managers, the programme management plan, was introduced in 1999. The plan is a compact between individual heads of department and the Secretary-General which establishes goals for the management of human and financial resources, as well as for programme delivery (see A/55/270). The programme management plan strengthens the performance management system at the highest level. The role of senior managers in providing leadership is recognized as being crucial to the successful institutionalization of a performance-based culture.

4. A number of monitoring mechanisms, including joint monitoring committees (JMCs) composed of staff and management representatives, management review committees (MRCs) and the Global Joint Monitoring Committee (GJMC), have been put in place to ensure accountability and compliance and to assess consistency of implementation (A/53/266, paras. 14-18). While earlier monitoring efforts focused on compliance levels, this function has evolved to a more in-depth monitoring of all phases of the PAS: work planning, mid-year review, staff development and year-end appraisal.

5. The status of PAS implementation in each department/office is included in the annual action plan for human resources for each programme manager. The Office of Human Resources Management provides continuing support to departments/offices on PAS concerns raised at the planning meetings. PAS implementation is monitored by the Office through the mechanisms of human resources action plans, the departmental JMCs and GJMC, and is reported to the Secretary-General at the end of the performance period. The consistency of PAS implementation is one of the performance indicators in the programme management plan between the Secretary-General and department heads and as such provides an effective mechanism of accountability in this area.

6. The Steering Committee on Reform, under the chairmanship of the Deputy Secretary-General, holds annual reviews of the status of PAS implementation in the Organization to address issues of inconsistency on an ongoing basis. Following these reviews, the Deputy Secretary-General communicates with all managers on the importance of their role in performance management and requests them to address issues of inconsistency in PAS implementation. As a further step in promoting consistency of application, the appointment and promotion bodies have been provided with departmental rating distributions. In transmitting the report of GJMC, the Secretary-General draws the attention of office/department heads to their key roles in providing leadership and support for the successful implementation of the PAS.

7. In its resolution 51/216 of 18 December 1996, the General Assembly requested the Secretary-General to prepare proposals for a system of performance awards or bonuses in the context of PAS. Pursuant to that request, the Secretary-General submitted a report (A/52/439) in which, while indicating the need to reward outstanding performance and deal effectively with under-performance, he noted that the new PAS system was not yet sufficiently rooted in the Organization to support such a monetary award system. Accordingly, the Secretary-General recommended the adoption of a step-by-step approach, in consultation with staff, beginning with non-monetary recognition. The Secretary-General underscored the importance of

systematically and effectively addressing under-performance while rewarding outstanding performance. In its resolution 53/221 of 7 April 1999, the Assembly approved the Secretary-General's step-by-step approach to performance recognition and requested that attention be given to under-performance.

8. As indicated in the Secretary-General's most recent report to the General Assembly on performance management (A/53/266, para. 28) after consultation with staff, management and taking into account the recommendations of the International Civil Service Commission, the following principles underlie the Secretary-General's approach to performance recognition:

- The optimization of performance at all levels: individual, team and organizational;
- Enhancement of responsibility and accountability at all levels, increased staff participation in the planning, delivery and evaluation of work and strengthening shared common values and standards across the Organization;
- Recognition of performance, achievement and learning and the establishment of mechanisms to ensure managerial accountability;
- Ensuring that individual contributions are not overemphasized at the expense of cooperative teamwork;
- Due recognition of fully satisfactory performance;
- Transparency of the performance recognition system;
- Consistent implementation of the PAS throughout the Organization.

9. Concrete steps have been taken towards realizing a management culture that upholds these principles. These include: Secretariat-wide implementation of the PAS and of measures taken to promote consistency of its application; establishment of core values and managerial and core competencies which provide a common standard against which superior performance or under-performance can be identified; reinforced management development programmes; and the introduction of team-based staff development programmes.

10. Departments and offices have been encouraged to pilot non-monetary reward and recognition measures, as well as measures to address under-performance, in the context of the PAS. All heads of department and office and chairpersons of joint monitoring committees have been requested to report such initiatives. The feedback received by the Office of Human Resources Management shows that departments are putting in place a variety of measures. A number of departments have started to institute formal ways of dealing with superior performance. A majority recognizes outstanding performance by their appraisal rating in the staff member's PAS. Some grant good performers additional training, developmental or mission assignments, or other interesting special assignments. Others place letters of recommendation in the staff members' files, or provide departmental awards of excellence. The Office of Human Resources Management will share the best practices of departments with all departments and offices to ensure that measures to recognize superior performance are applied uniformly throughout the Secretariat.

11. With respect to under-performance, as requested by the General Assembly (resolution 53/221, para. 4), the administrative instruction on the PAS (ST/AI/1999/14) has been amended to assist managers in dealing more systematically with under-performance. In cases where staff do not fully meet performance expectations, they may be given an appraisal rating of "partially meets" or "does not meet" performance expectations. An appraisal rating of "partially meets" performance expectation may justify the withholding of a within-grade increment, particularly if the same rating is given for a second consecutive year. A "does not meet" performance expectations appraisal rating may lead to a number of administrative actions, such as withholding a within-grade increment, non-renewal of a fixed-term contract or termination for unsatisfactory service.

12. In addition, the guidelines to the PAS set out the roles of departmental, office, unit and individual work planning in setting performance goals, with an indication of how success will be determined. In cases of under-performance, managers are required to document the under-performance and work with the staff member to develop a performance improvement plan. Such a development plan will become one of the objectives of the staff member's PAS and will be monitored and evaluated by the immediate supervisor.

In some cases, the staff member is assigned a coach or is sent to training courses. In other cases, efforts are made to assess the skills and competencies of a poor performer and to find assignments that correspond better with his/her skills. A number of departments have started issuing letters of reprimand to be placed in a staff member's personal file, and some have withheld in-grade increments.

Accountability

13. The performance appraisal system is a key element of the Organization's accountability system. It is the instrument by which staff at all levels are held accountable for their performance. The Office of Human Resources Management plays a central role in supporting full and consistent implementation of the PAS in the Secretariat. It monitors implementation through the mechanisms of the departmental human resources action plans; an annual report to the Deputy Secretary-General and the Steering Committee on Reform; and the annual status reports of departmental JMCs. Further, the consistency of implementation of the PAS is one of the performance indicators in the Programme Management Plan between the Secretary-General and heads of department and as such provides an effective mechanism of accountability at the highest level.

Annex VIII

Career development

1. Under the United Nations career development policy, the Organization is called upon to provide a framework of opportunities with the requisite supportive programmes and systems, managers are expected to support staff development for career progress and staff members should be committed to their own professional growth. The overall policy framework encompasses a competency model, a human resources planning capacity, a skills inventory, a career support programme, learning and development opportunities, and a performance appraisal system. Each of these elements is an integral component of a career development system. Moreover, in developing specific proposals on mobility, the Secretary-General is creating placement opportunities for a larger number of staff. Together with the following elements, the career development opportunities for staff at all levels have been broadened and enriched. These additional components of the Secretariat's career development policy and system include:

- An enhanced human resources planning capacity, including a skills inventory to assist staff and managers in planning and preparing for future job opportunities and identifying skill gaps;
- Annual human resources action plans at the departmental level which provide an opportunity for detailed discussions on the career paths or prospects of staff in particular occupations, on career development needs and on training to be organized both by the Office of Human Resources Management and by the department/office itself as part of an integrated and tailored approach to staff development;
- The definition of organizational core and managerial competencies to clarify expectations about the skills and attributes that staff and managers need to prepare individual development plans and career planning strategies;
- A more efficient and transparent recruitment, selection, placement and promotion system, including increasing use of generic job descriptions, which will make qualifications for job groups more transparent and provide staff with accessible information on job requirements;
- A performance management system that holds managers to account for planning and supporting the development of their staff, through a specific mandatory goal relating to staff development, and holds individuals responsible for setting and accomplishing goals for their professional development;
- Enhanced training programmes and development opportunities for all staff linked to the strengthening of competencies to enable staff to upgrade their skills and acquire additional skills;
- A specific focus on junior Professional staff, including week-long orientation and development programmes for all new junior Professional staff to strengthen their knowledge of the Organization as well as their interpersonal, communication, negotiation and drafting skills and to develop a network of colleagues from all areas of the Organization. Contact is maintained with these

young Professionals and follow-up workshops and meetings are organized at all duty stations;

- Emphasis in supervisory and managerial development programmes on the key role of managers in managing the performance and supporting the development and career progression of staff;

- Career support programmes for staff at all levels, including career development workshops to enhance skills for career planning; to provide information about organizational systems, job opportunities and requirements; to encourage dialogue; and to promote understanding of the roles and responsibilities of staff, managers and the Organization in career planning and development. A Career Support Guide has been published to provide managers and staff with information and guidance on the Organization's career development policy;

- Managed mobility systems, closely linked to the new system of recruitment, placement and promotion, offering a new way to meet the operational requirements of the Organization while opening meaningful career opportunities for staff. The mobility systems are designed to provide global experience to ensure that staff have hands-on experience of a wide spectrum of functions and situations; to promote versatility to develop well-rounded, multi-skilled staff to operate in a multidisciplinary environment; and to strengthen the Organization's ability to attract and retain the best staff by providing enhanced career opportunities;

- A managed reassignment programme for new junior Professional staff introduced as a means of promoting mobility, providing on-the-job learning experiences and supporting staff career development. This programme will also serve as a model for increasing lateral movement and mobility at all levels;

- Measures to address work/life issues that affect staff members' career choices. A review is being conducted of work/life concerns throughout the Secretariat, including opportunities for spouse employment, schooling, child care, medical facilities and security issues, with a view to identifying needs and providing a basis for practical measures to address them.

Accountability

2. As the Secretary-General has indicated, career development is a shared responsibility with three lines of accountability. Senior management sets the vision and goals, and the Office of Human Resources Management provides support and guidance, monitors effectiveness and develops strategy and systems. Programme line managers are accountable for succession and resource planning and providing information, support, coaching and mentoring. Individual staff members are responsible for making decisions about their careers, creating individual development plans and acquiring new skills. In addition, new mechanisms such as human resources action plans, the programme management plan between department heads and the Secretary-General and provisions of the performance appraisal system all provide means for establishing accountabilities and monitoring progress in this area.

Annex IX

Conditions of service

1. To ascertain the issues of major concern to staff, a worldwide survey of work/life issues that influence staff members' work and decisions about mobility is being undertaken. The resultant overview of staff concerns and their variation among duty stations will assist the Secretary-General in creating policies to address these concerns. In 1999, the lack of job opportunities for spouses was a major reason cited by staff in resigning from the Organization, a finding consistent with the increase in dual-career families. The restraints on employment of spouses by countries that host United Nations offices and programmes is counter-productive to staff mobility and, in the modern era, unrealistic in its basis in the "one wage-earner" family. Governments of countries that host United Nations offices and programmes have been requested to look into ways to permit and help spouses of United Nations staff to find employment. Such policies would also assist in the implementation of the mobility policy.

2. The General Assembly, in its resolution 54/139 of 17 December 1999 (para. 15), requested the Secretary-General to continue his work to create within existing resources a gender-sensitive environment supportive of the needs of his staff, both women and men. The Secretary-General on 1 August 1995 had already put in place flexible working hours (ST/AI/408) and on 8 November 1999, he expanded the use of uncertified sick leave for family-related emergencies and introduced paternity leave under the maternity leave entitlement (ST/AI/1999/12). By fostering an environment that addresses personal needs and requirements, the Organization will continue to promote optimal performance by all staff members.

Annex X

Proposed amendment to staff rule 104.14

Rule 104.14

Central review bodies

Establishment

(a) Central review bodies shall be established by the Secretary-General as follows:

(i) A Central Review Board at Headquarters and at designated duty stations to give advice on the appointment of, and promotion of staff to, the P-5 and D-1 levels;

(ii) A Central Review Committee at Headquarters and at designated duty stations to give advice on the appointment, promotion and review of staff in the Professional category up to the P-4 level, except that appointment and promotion of candidates having successfully passed a competitive examination shall be given by Boards of Examiners, in accordance with rule 104.15;

(iii) A Central Review Panel at Headquarters and at designated duty stations to give advice on the appointment, promotion and review of staff in the General Service and related categories, under terms and conditions defined by the Secretary-General;

(iv) Subsidiary panels may be established as necessary.

(b) Executive heads of programmes, funds or subsidiary organs of the United Nations to which the Secretary-General has delegated appointment and promotion functions may establish advisory bodies to advise them in the case of staff members recruited specifically for service with those programmes, funds or subsidiary organs. The composition and functions of such advisory bodies shall be generally similar to those of the central review bodies established by the Secretary-General.

Membership of the Central Review Board

(c) Each Central Review Board shall be composed of staff members at the D-1 level and above, as follows:

(i) Three members and an appropriate number of alternates, selected by the Secretary-General;

(ii) Three members and as many alternates as those appointed under subparagraph (i), who shall be appointed by the Secretary-General from nominees submitted by the appropriate staff representative body;

(iii) The Assistant Secretary-General for Human Resources Management, or an authorized representative, as an ex officio non-voting member.

(d) Members and alternates shall be appointed for fixed periods, normally of one year, subject to renewal.

(e) Each Central Review Board shall elect its own Chairman and establish its own procedures.

Membership of Central Review Committees

(f) Each Central Review Committee shall be composed in a manner similar to that of the Central Review Board, except that its members shall be at the P-4 level and above. The ex officio non-voting member at offices away from Headquarters shall be designated by the head of the office concerned.

Membership of Central Review Panels and subsidiary panels

(g) Each Central Review Panel shall be composed in a manner similar to that of the Central Review Board, except that its members shall be composed of staff members in the Professional category or staff in the General Service and related categories whose rank is not below that of the level of the post to which appointment or promotion is contemplated. The ex officio non-voting member at offices away from Headquarters shall be designated by the head of the office concerned.

Functions of the central review bodies

(h) Appointment and promotion

(i) The central review bodies shall advise the Secretary-General on all appointments of one year or longer, and on promotion of staff after such appointment, except in the following cases:

a. Appointment of persons recruited specifically for service with a mission;

b. Appointment or promotion of candidates having successfully passed a competitive examination, in accordance with rule 104.15;

c. Appointment at the entry level or promotion within the General Service and related categories of candidates having successfully passed an entrance test or examination, under conditions defined by the Secretary-General.

(ii) The central review bodies shall confirm the validity of evaluation criteria to be applied to candidates for all advertised vacancies. After evaluation, they shall confirm that the recommendation has been based on the pre-approved selection criteria, and in compliance with applicable procedures.

(i) Review

(i) The central review bodies shall review the suitability for permanent appointment of staff members holding a probationary appointment to ensure that they have fully demonstrated their suitability as international civil servants and have shown that they meet the high standards of efficiency, competence and integrity established in the Charter of the United Nations. The central review bodies may recommend conversion to permanent appointment, extension of the probationary period for one additional year or separation from service.

(ii) The central review bodies shall also review proposals for the termination of permanent appointments for unsatisfactory service under staff regulation 9.1(a), in accordance with procedures established by the Secretary-General.